

**IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN  
THE MINISTRY OF FOREIGN AFFAIRS AND INTERNATIONAL CO-  
OPERATION OF THE BOTSWANA PUBLIC SERVICE**

by

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## **DEDICATION**

This study is dedicated to my wife, Mrs. Palalani Manewe-Sisa, my two sons, Nkwebi and Mbuya, and daughter, Unaswi. May this work serve as their inspiration and inculcate a culture of learning and devotion to academic excellence.

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- All the respondents who took part in the study. Without their participation this study would not have been completed.
- My wife, Palalani Manewe-Sisa, who provided the moral support and encouragement to complete this study.

## **DECLARATION**

**STUDENT NUMBER 4304 -1515**

I declare that the thesis entitled IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF FOREIGN AFFAIRS AND INTERNATIONAL CO-OPERATION OF THE BOTSWANA PUBLIC SERVICE is my own work and that all the sources that I have used and quoted have been indicated and acknowledged by means of complete references.

.....

**SIGNATURE**

**Edgar Sisa**

.....

**DATE**

## **ABSTRACT**

The main aim of this study was to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service and to identify the factors that facilitated and hindered the successful implementation of the programme. This study used a mixed methods research design which combines both qualitative and quantitative research design. The study used the model of social programmes, which is a holistic and comprehensive analytical framework that is used to study the implementation of social intervention programmes.

Research data was obtained using a triangulation of research methods (case study, evaluation research and survey method) and data sources (literature review, document analysis, self-administered questionnaires and follow-up personal interviews). A sample of 90 respondents was selected using the purposive sampling strategy. The study found that the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation was problematic because of unclear and ambiguous foreign policy goals and objectives; lack of broad-based support and critical mass of champions of the performance management system; use of command-and-control management model rather than empowerment and the adaptation model; inadequate human and institutional capacities; ineffective supporting systems of the performance management system; weak accountability and responsibility mechanisms; weak intra-ministerial and inter-ministerial communication, co-operation, collaboration and co-ordination; inadequate information and communications technology infrastructure and unfavourable international environment.

This study contributed to the existing literature by investigating the implementation of the performance management system in the global

environment from a public service perspective rather than a private sector perspective, which relies on the experiences of multinational companies. The study findings provide some invaluable insights that may improve the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service by proposing recommendations to the identified problems. The recommendations include: setting clear and specific foreign policy objectives; creating a critical mass of champions of the performance management system; strengthening human and institutional capacities; promoting effective implementation and use of supporting systems of the performance management system; strengthening accountability and responsibility mechanisms; strengthening intra-ministerial and inter-ministerial communication, co-operation, collaboration, and co-ordination; strengthening decentralisation and empowerment principles and upgrading information and communications technology infrastructure.

## **KEYWORDS**

- Evaluation
- Implementation
- Performance management system
- Ministry of Foreign Affairs and International Co-operation
- Botswana public service
- Botswana diplomatic missions abroad
- Head of mission
- Performance improvement programmes
- Innovations
- On-spot periodic oversight inspections

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## **CHAPTER 1**

### **INTRODUCTORY CHAPTER FOR THE STUDY**

#### **1.1 INTRODUCTION**

The main aim of this study was to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. Additionally, it sought to examine the origins of the concept of "performance management," define the concept, explain the approaches to performance management, nature and content of a performance management system, identify the steps to be followed in developing a performance management system, identify the objectives and benefits of implementing the performance management system, identify the general problems encountered in the implementation of the performance management system, propose recommendations to improve its implementation and suggest areas for further research (see *infra* 1.4).

Against this background, the introductory chapter covers the background and rationale for the study, the research problem and questions, research aim and objectives, scope, conceptualisation of key concepts, a brief overview of the research design and methodology used, editing and referencing, study sequence and summary.

#### **1.2 BACKGROUND AND RATIONALE**

The performance management system was introduced in the Botswana public service in 1999. In Botswana, the public service refers to government ministries and independent departments. Government ministries and independent

departments form part of the central government. They are administrative institutions that were established to carry out government functions and/or provide public services. Government ministries and independent departments are organised in terms of government functions and portfolio responsibilities they perform. There are fifteen government ministries and nine independent departments that constitute the Botswana public service.<sup>1</sup> Independent departments administratively fall under different government ministries for managerial purposes (that is, budget, direction and control of the Minister). However, they operate autonomously and their administrative heads are equivalent to and enjoy similar status as heads of government ministries (permanent secretaries) (Republic of Botswana, General Orders Governing the Conditions of Service of the Botswana Public Service, 1996: 7).

The performance management system was rolled out to all the fifteen government ministries and only eight of the nine independent departments since July 1999 up to 31 March 2004 (Botswana National Productivity Centre, 2005: 5). The Botswana Defence Force is the only independent department that is not implementing the performance management system because it uses the total army quality system, which is the military version of the performance management system (Mathe, 2004: 2).

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<sup>1</sup> The fifteen government ministries are the ministries of (1) State President (include the Ministries for Presidential Affairs and Public Administration; and Defence, Justice and Security); (2) Finance and Development Planning; (3) Transport and Communications; (4) Health; (5) Education and Skills Development; (6) Labour and Home Affairs; (7) Infrastructure, Science and Technology; (8) Agriculture; (9) Trade and Industry; (10) Foreign Affairs and International Co-operation; (11) Environment, Wildlife and Tourism; (12) Lands and Housing; (13) Local Government; (14) Minerals, Energy and Water Resources; and (15) Youth, Sport and Culture. The nine independent departments are the (1) Auditor General; (2) Attorney General; (3) Botswana Defence Force; (4) Botswana Police; (5) Directorate of Public Service Management; (6) Ombudsman; (7) Directorate on Corruption and Economic Crime; (8) Independent Electoral Commission; and (9) Administration of Justice (Republic of Botswana, The Draft National Development Plan 10, 2009a: 6).



A review of the literature on programme implementation showed that there was consensus among public administration, public management and public policy scholars and practitioners that the implementation of social intervention programmes<sup>2</sup> was problematic and fraught with difficulties and complexities (Polidano, 2001: 347; Mutahaba and Kiragu, 2002: 73; Pollitt, 2002: 7; Verheijen and Dobrolyubova, 2007: 208; Teelken, 2008: 631-632; Fryer, Antony and Ogden, 2009: 478). First, social intervention programmes were not always implemented as originally envisaged by the policymakers (Howlett and Ramesh, 1995: 153-154; McCoy and Hargie, 2001: 320 - 322; Kiragu, 2002: 17-18; Kiragu and Mutahaba, 2006: 3).

Second, effective programme implementation normally encounters difficulties and challenges arising from practical, technical, institutional, structural, political, economic, social, cultural, technological and environmental factors (Howlett and Ramesh, 1995: 154; McCoy and Hargie, 2001: 321; Kennerley and Neely, 2002: 1227; Mutahaba and Kiragu, 2002: 73-74; Teelken, 2008: 621). As a result, the implementation of social intervention programmes such as the performance management system remains a major challenge or difficulty (Kiragu and Mutahaba, 2006: 7; Laking and Norman, 2006: 10; Washington and Hacker, 2009: 2-3).

Third, performance management literature demonstrated that the implementation of performance management initiatives often fail during the implementation stage (Kaplan, 1998: 111; Polidano, 2001: 346; Verweire and Van den Berghe, 2003: 782; Laking and Norman, 2006: 10; de Waal, 2007: 71; Laking and Norman, 2007: 523; Dull, 2008: 255; Washington and Hacker, 2009: 2). The failure rate of change initiatives, including the performance management

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<sup>2</sup> Social intervention programmes refer to social interventions or programmes, policies, systems and schemes that are implemented to address societal problems or improve human conditions (Babbie and Mouton, 2001: 335 – 336).

system in the past decade, was estimated to be 70% (McCunn, 1998: 34; Bourne, Neely, Platts and Mills, 2002: 1288; Hacker and Washington, 2004: 52; Bourne, 2005: 101; Franco-Santos and Bourne, 2005: 118; Washington and Hacker, 2005: 401; de Waal and Counet, 2009: 367; Kuyvenhoven and Buss, 2011: 2). A recent study showed that the failure rate was still at 70% (Hope and Player, 2012: 1). However, some authors argue that the failure rate has now even decreased from 70 to 56% (de Waal and Counet, 2009: 367; Adhikari, 2010: 310).

Studies indicate that the performance management system has a poor and disappointing track record of implementation in Africa, Southeast Asia, Central and Eastern Europe and Latin America (African Development Report 2005: 182; Laking and Norman, 2006: 10; Laking and Norman, 2007: 523; Dull, 2008: 255; Ohemeng, 2010a: 457). For instance, a case study of the implementation of the performance management system in ten Central and Eastern Europe countries of Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, and Slovenia found no success stories of performance management (Randma-Liiv and Järvalt, 2011: 44).

Globally, there are a few success stories of performance management which include Australia, Bermuda, Canada, Finland, France, Jamaica, Japan, Malaysia, New Zealand, Singapore, Sweden, United Kingdom and the United States of America (Aveni, 2001: 3; Mutahaba and Kiragu, 2002: 50; Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 10; Adamolekun, 2005: 29; Bashe and Jongman, 2006: 29; Commonwealth Association for Public Administration and Management, 2008: 35, 41; Mothusi, 2008: 59; Commonwealth Secretariat, 2010: 91). In Africa, Botswana, Ghana, Mauritius, Namibia, South Africa, Tanzania and Uganda are listed among few exceptions of success stories of performance management,

though there are challenges and constraints (Economic Commission for Africa, 2004: viii; Adamolekun, 2005: 6; African Development Report 2005: 138; Kiragu and Mutahaba, 2006: 8; Commonwealth Secretariat, 2010: 92). Given the high failure rate of implementation of the performance management system and the implementation challenges associated with performance management systems modelled on the New Zealand New Public Management model, some scholars such as Schick (1998: 124); Polidano and Hulme (2001: 298); Dunn and Miller (2007: 350); and Ohemeng (2010a: 457) have recommended that developing countries, especially those in Africa, should not implement Western management techniques or practices that are not adapted to the contexts of developing countries (see *infra* 3.5.8).

This study was considered timely and relevant because of the following five reasons. Firstly, it was carried out at a time when there was concern that little attention was paid to the challenges and difficulties encountered in implementing the performance management system in developing countries (Ohemeng, 2009a: 125). Secondly, the study topic was considered an important subject for study because African countries such as Botswana, Burkina Faso, Egypt, Ethiopia, Ghana, Kenya, Lesotho, Malawi, Mozambique, Namibia, Nigeria, South Africa, Tanzania, Uganda, Zambia and Zimbabwe were implementing the performance management system to improve public service performance and service delivery (Hope, 2003: 305; Economic Commission for Africa, 2004: 13; Kiragu and Mutahaba, 2006: 8; de Waal, 2007: 71; Mothusi, 2007: 4). Moreover, the study topic was worth researching because of the exponential growth in academic interest in performance management since the 1990s (Thorpe and Beasley, 2004: 335 -336; Monnaesi, 2011: 8).

Thirdly, this study was carried out at a time when the implementation of the performance management system in the Botswana public service was receiving

national attention following the pronouncement by the President of Botswana, Lieutenant General S. K.I. Khama on 18 October 2009 that public service delivery would be one of the major priorities of his administration. The main priorities of president Khama's administration are the five "Ds," namely democracy, development, dignity, discipline and delivery. Effective public service delivery is critical to promote and sustain national development, economic diversification, global competitiveness and to improve living standards and dignity of citizens (Letsebe, 2009: 2; Republic of Botswana, Office of the President Press Release – Restructuring of Certain Ministries and Departments, 20 October 2009b: online). As argued by Ohemeng (2009a: 110) performance management is an issue of critical concern to public administration and to political leaders, public and private sector managers.

Fourthly, the findings and recommendations of this study would be of practical value to the Ministry of Foreign Affairs and International Co-operation, which was used as a case study. Since the performance management system was implemented in the Botswana public service in 1999, there was no case study that was undertaken to investigate its implementation in the Ministry of Foreign Affairs and International Co-operation. The recommendations of this study could contribute to the improvement of the implementation of the performance management system and other future interventions.

Finally, this study contributed to the limited scholarly literature on the implementation of the performance management system in the Botswana public service. The bulk of the current literature on the implementation of the performance management system in the Botswana public service are international conference papers that were presented by senior government officials. Examples are papers by Bakwena (2003), Moleboge (2003), Nkhwa (2003), Bashe and Jongman (2006), Nyamunga (2006), Mogae (2007),

Skelemani (2007) and Nkhwa (2008). Due to their nature (conciseness), presentations or conference papers are not scholarly and detailed in their treatment of the subject.

The available scholarly studies such as those by Hope (2002; 2003) and Mothusi (2008) were one-dimensional case studies. For example, Hope focused on the aspect of leadership while Mothusi focused on organisational culture. Consequently, these studies do not provide a comprehensive account of the implementation of the performance management system as they omit other factors that affect its implementation. This study adopted a holistic or multi-dimensional analytical framework to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service.

Internationally, there is a limited body of literature considering the implementation of the performance management system in developing countries, in particular Africa (de Waal, 2007: 70). The available limited case studies focus on private sector companies, especially multinational corporations. There are limited case studies that consider the implementation of the performance management system in a global environment from a public service perspective. A literature search for studies that investigated the implementation of the performance management system in the ministries of foreign affairs identified only two articles, one by K. S. Rana published in 2004 entitled "Performance Management in Foreign Ministries," and another by M. Mwagiru published in 2006 titled "Issues, Problems, and Prospects in Managing the Diplomatic Services in Small States." Similarly, only two books were found that discussed performance management in the ministries of foreign affairs written by the same author K.S. Rana titled "The 21<sup>st</sup> Century Ambassador: Plenipotentiary to Chief

Executive” originally published in 2004, and “21<sup>st</sup> Century Diplomacy: A Practitioner’s Guide” published in 2011.

Locally, there was no study found that investigated the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. On this basis, this was an exploratory or pioneering study that investigated the implementation of the performance management system of the Botswana public service in a global environment and was the first study that used the Ministry of Foreign Affairs and International Co-operation as a case study.

### **1.3 RESEARCH PROBLEM AND QUESTIONS**

The research problem and questions of this study are presented below.

#### **1.3.1 Research problem**

On 7 October 1996, the reference group for the Botswana performance improvement project approved that the performance management system be piloted in three government ministries, namely the Ministries of Health; Labour and Home Affairs; and Works, Transport and Communication (Academy for Educational Development, 1996: 3). Following the successful piloting of the performance management system in these three government ministries, the heads of government ministries and independent departments in a meeting held in Francistown, Botswana, in April 1997, approved that the performance management system be rolled-out to the whole public service. In June 1998, a new division known as the Public Service Reforms Unit was established within the Directorate of Public Service Management to integrate, co-ordinate and spearhead the implementation of the public service reforms, including the

performance management system (Institute of Development Management Consortium, 2006: 1; Dzimbiri, 2008: 49; Marobela, 2008: 430).

Subsequently, in February 1999, the Botswana Cabinet endorsed the decision of permanent secretaries to roll-out the implementation of the performance management system to the entire public service (Bashe and Jongman, 2006: 24; Dzimbiri, 2008: 49). In June 1999, the Botswana National Productivity Centre was awarded a five-year contract to roll-out the performance management system in the Botswana public service (Institute of Development Management Consortium, 2006: 1 - 2). The roll -out of the performance management system in the Botswana public service began in July 1999 and was completed on 31 March 2004 (Republic of Botswana, National Development Plan 9, 2003a: 366; Botswana National Productivity Centre, 2005: 5). In August 1999, the performance management system was launched in the Botswana public service (Botswana Press Agency, 1999: 4).

A review of the literature on the implementation of the performance management system in the Botswana public service showed that government ministries and independent departments encountered challenges when implementing the programme. Firstly, not all permanent secretaries were enthusiastic about its implementation (Bashe and Jongman, 2006: 26; Institute of Development Management Consortium, 2006: 42; Laking and Norman, 2007: 522; Dzimbiri, 2008: 53). Secondly, at the time when the performance management system was implemented it received little support from political leaders, the general public and the Botswana public service (Bashe and Jongman, 2006: 29; Institute of Development Management Consortium, 2006: 68; Laking and Norman, 2007: 526).

Thirdly, due to lack of political and public support, the Botswana Parliament reluctantly approved the performance management system budget (Bashe and Jongman, 2006: 24, 29; Institute of Development Management Consortium, 2006: 68; Laking and Norman, 2007: 527). The implementation of the programme in the Botswana public service was a challenge because of entrenched paradigms, mindsets and work ethics (Bakwena, 2003: 5; Republic of Botswana, National Development Plan 9, 2003a: 367; Laking and Norman, 2007: 522; Skelemani, 2007: 16).

Fourthly, government ministries and independent departments lacked the necessary experience and expertise to embark on a major reform such as the performance management system (Bashe and Jongman, 2006: 29; Laking and Norman, 2007: 527; Dzimbiri, 2008: 53). According to Bashe and Jongman (2006: 30) and Washington and Hacker (2009: 6), the Botswana public service did not have the requisite numbers and calibre of chief executive officers to effectively implement the performance management system. In addition, the Botswana National Productivity Centre consultants and other Botswana consultants had little or no practical experience of implementing a reform of this magnitude (Bashe and Jongman, 2006: 30-31; Institute of Development Management Consortium, 2006: 72-73; Dzimbiri, 2008: 53).

Fifthly, it was difficult to convince the public about the usefulness and effectiveness of the performance management system in improving the delivery of public services (Bashe and Jongman, 2006: 30-31; Institute of Development Management Consortium, 2006: 68; Laking and Norman, 2007: 526; Nkhwa, 2008: 20). The public thought the performance management system like other previous performance improvement programmes would not make any significant impact on public service delivery. Sixthly, at the time the performance management system was implemented, there was inadequate understanding



within the Botswana public service about the integration of previous performance improvement programmes within the performance management system framework.

Consequently, there was confusion and misunderstanding about the implementation of the performance management system with the previous performance improvement programmes, in particular with work improvement teams. As a result, it was a challenge for the Botswana public service to widely accept the implementation of the performance management system (Bashe and Jongman, 2006: 31; Institute of Development Management Consortium, 2006: 41; Washington and Hacker, 2009: 4). Finally, the implementation of the performance management system created anxiety and resistance to change as it unsettled the political leadership, chief executive officers, consultants and the change agents alike (Bashe and Jongman, 2006: 32; Institute of Development Management Consortium, 2006: 67; Dzimbiri, 2008: 53).

Probably owing to the above-mentioned challenges, the pace of implementation of the performance management system in the Botswana public service was slow (Republic of Botswana, National Development Plan 9, 2003a: 367). It was only during the 2003/2004 financial year that government ministries and independent departments rushed its implementation to comply with the presidential directive deadline of 31 March 2004 (Republic of Botswana, Budget Speech, 2004a: 17; Institute of Development Management Consortium, 2006: 10).

Given the above challenges and the rushed implementation of the programme, the researcher found it necessary to conduct a study to investigate the following research problem: *"What are the factors that facilitated and hampered the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service?"*

In view of this, the researcher sought to assess whether the performance management system was properly implemented in the Ministry of Foreign Affairs and International Co-operation. The above research problem was also prompted by an observation by Laking and Norman (2007: 523) that public service interventions are prone to failure. As already mentioned in section 1.2, the failure rate of social intervention programmes is very high, especially in Africa.

### **1.3.2 Research questions**

As indicated in the background and rationale and research problem; the implementation of social intervention programmes such as the performance management system was problematic. In this regard, it was evident that particular research questions would automatically emerge for inquiry. The focus of this study was performance management, and an analysis of the above research problem, aim and objectives suggested a few additional research questions.

In order to answer the main research problem, the study attempted to answer the following research questions:

- What is the meaning of performance management? What are the factors that led to the introduction of the performance management system globally and in Africa? What are the approaches to performance management? What are the objectives and benefits of the performance management system? What are the components of a performance management system?
- What analytical framework was used to answer the research problem? Why was this analytical framework chosen? What are the factors that facilitate and hinder the successful implementation of the performance management system in developing countries, especially in Africa?

- What are the origins of the performance management system of the Botswana public service? What is the nature and content of the performance management system of the Botswana public service? What are the main components of the performance management system of the Botswana public service?
- What are the roles and responsibilities of the Ministry of Foreign Affairs and International Co-operation? How was the performance management system implemented in this Ministry?

#### **1.4 RESEARCH AIM AND OBJECTIVES**

The primary aim of this study was to investigate how the performance management system was implemented in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. In addition to the primary aim of the study, this study sought to contribute to the understanding and knowledge of the performance management system and its implementation through the following objectives:

- Objective 1: Examine the global origins of the concept of performance management, define the concept of performance management, explain the approaches to performance management, nature and content of the performance management system, identify the steps to be followed to develop a performance management system, identify the objectives and benefits of introducing the performance management system and identify the general problems encountered in the implementation of the performance management system.
- Objective 2: Select an analytical framework to be used to analyse the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation.

- Objective 3: Examine the origins of the performance management system of the Botswana public service.
- Objective 4: Explain the nature and content of the performance management system of the Botswana public service.
- Objective 5: Select the research design and methodology to be used to investigate the research problem.
- Objective 6: Analyse the research data.
- Objective 7: Discuss and interpret the findings of the empirical study.
- Objective 8: Discuss realisation of the study aim and objectives, summary of the main conclusions of each chapter, limitations of the study, major findings of the empirical study, recommendations and areas for further research.

## **1.5 SCOPE**

The *focus* of this study was on the process of implementation (implementation phase) of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. This study did not assess the impact (programme outcomes) of the performance management system in the Ministry of Foreign Affairs and International Co-operation. The scope of this study is set within the parameters of the geographical, hierarchical and time dimensions.

### **1.5.1 Geographical dimension**

The geographical dimension sets the specific geographical boundaries of the study. As indicated in the thesis title, this study is limited to the Ministry of Foreign Affairs and International Co-operation of the Republic of Botswana. The geographic units of this study were the Ministry of Foreign Affairs and

International Co-operation headquarters in Gaborone and the twenty-one Botswana diplomatic missions abroad. The latter were included in the study because they serve as field offices of the Ministry of Foreign Affairs and International Co-operation (see *infra* 6.3.2.1.1). The Botswana diplomatic mission in Berlin, Germany was excluded because it was opened in September 2013 after the researcher has already collected data.

### **1.5.2 Hierarchical dimension**

This study was limited mainly to the perceptions of senior management (Permanent Secretary, Deputy Permanent Secretaries, Directors, Ambassadors and High Commissioners), middle management (Deputy Directors, Minister Counsellors, Assistant Directors, and Counsellors) and junior management staff (Foreign Affairs Officers, First, Second and Third Secretaries) regarding the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation headquarters and the twenty-one Botswana diplomatic missions abroad.

Those who fell outside the scope of these hierarchical dimensions included industrial class employees at the Ministry headquarters, locally recruited staff at the Botswana diplomatic missions abroad, and seconded staff from other government ministries and independent departments at both the Ministry headquarters and Botswana diplomatic missions abroad. The industrial class employees and locally recruited staff were excluded because they were generally not fully knowledgeable about the performance management system, while seconded staff from other government ministries and independent departments was excluded because they were not employees of the Ministry (see *infra* 6.3.3).

### **1.5.3 Time dimension**

The study was restricted to the period from 1999 when the performance management system was introduced in the Botswana public service up-to-date. However, a chronology of the developments of performance management goes back as far as the Biblical times and to the Chinese dynasties in the 221 – 206 BC (see *infra* 2.2).

## **1.6 CONCEPTUALISATION OF KEY CONCEPTS**

The term “conceptualisation” in social research is used interchangeably with terms such as “conceptual clarification,” “conceptual analysis,” and “conceptual explication” (Mouton, 1996: 114). Babbie and Mouton (2001: 105) defined conceptualisation as “the process of clarifying what is meant by the concepts being used in a study.” In simpler terms, conceptualisation refers to the definitions or meanings of the concepts to be studied (Babbie and Mouton, 2001: 98). According to Mouton (1996: 66), conceptualisation “involves at least two activities, namely the conceptual clarification or analysis of key concepts in the problem statement, and relating the problem to a broader conceptual framework or context.”

The definitions of key concepts make it clearer and easier to understand the meanings and context in which the concepts are used and thus avoiding ambiguity. As explained by Mouton (1996:114-116), conceptual analysis is very crucial in research because the concepts used are “highly theoretical and abstract,” “multidimensional” and “acquire new meanings.” As argued by Mouton (1996: 115-117), conceptualisation assists to clarify the meanings of these “highly theoretical and abstract concepts,” and renders them “consistent and systematic,” and “measurable” or “observable.”

The definitions of key concepts used in the study are provided below. Other key concepts used were defined where they appear in the body of the thesis.

### **1.6.1 Evaluation**

The term “evaluation” was used in this study to refer to “the systematic application of social research procedures for assessing the conceptualisation, design, implementation and utility of social intervention programmes” (Rossi and Freeman, 1989: 18 cited in McCoy and Hargie, 2001: 318). The social intervention programme in this case was the performance management system.

### **1.6.2 Implementation**

The term “implementation” refers to the “process whereby programmes or policies are carried out; it denotes the translation of plans into practice” (McLaughlin, 1985: 97 cited in Howlett and Ramesh, 1995: 153). In this case, implementation refers to the execution or translation of the performance management system into practice.

### **1.6.3 Ministry of Foreign Affairs and International Co-operation**

The term “Ministry of Foreign Affairs and International Co-operation” was used broadly in this study to refer to the Ministry of Foreign Affairs and International Co-operation headquarters and the twenty-one Botswana diplomatic missions abroad. The Ministry of Foreign Affairs and International Co-operation is charged with the responsibility of implementing Botswana’s foreign policy (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 23; Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 131).

#### **1.6.4 Head of mission**

The term “head of mission” means the head of the Botswana diplomatic mission abroad. If the Botswana diplomatic mission abroad is located in a non-Commonwealth country, it is referred to as the Botswana Embassy and the head of mission is called an Ambassador. If the Botswana diplomatic mission is located in a Commonwealth country, it is called a Botswana High Commission and its head of mission is called a High Commissioner. Botswana high commissions and embassies are fully-fledged diplomatic missions. A diplomatic mission which is not fully-fledged is called a Consulate and its head is called a Consul General (Goitsewang, 2013: 9).

#### **1.6.5 Performance management system**

The term “performance management system” was defined by Hope (2002: 539) as “an ongoing communication process, undertaken in partnership between employees and their immediate supervisors that involves establishing clear expectations and understandings about the essential job functions each employee is expected to undertake; how each employee’s job contributes to the goals of the organisation; how each employee and supervisor will work together to sustain, improve, or build on existing employee and organisational performance; how job performance will be measured; and identifying barriers to performance and removing them.” In the Botswana public service, the performance management system is used “as an instrument to enable government ministries and independent departments to conscientiously work towards optimum delivery of public services to the nation” (Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 2).



## **1.7 RESEARCH DESIGN AND METHODOLOGY**

This section briefly considers the research design and methodology used for this study.

### **1.7.1 Research design**

According to De Vos and Fouché (1998: 96) and Babbie and Mouton (2001: 74), the research design refers to a plan or blueprint or strategy for conducting an empirical study. The selection of the research design is greatly influenced by the type of the study, research problem and questions. This study used a mixed methods research design which is a mixture of qualitative and quantitative research design (see *infra* 6.2.1 and 6.2.2). The study used three research methods: case study, evaluation and survey (see *infra* 6.3.1).

### **1.7.2 Research methodology**

According to Brynard and Hanekom (1997: 28) and Babbie and Mouton (2001: 104), the term “research methodology” refers to the various methods, techniques and procedures that are used to execute the research design or research plan. The research methodology involves choosing methods or strategies of data collection, analysis and interpretation, and sampling. This study used four data collection instruments, namely literature review, document analysis, questionnaires and follow-up personal interviews (see *infra* 6.3.4). The data was analysed and interpreted in terms of the eight dimensions of the model of social programmes, which was used as an analytical framework (see Chapter Three). Due to the small sample size of 90 respondents, research data was analysed manually. Simple descriptive statistical analyses (numbers and percentages) were used for data analysis and interpretation (see Chapter

Seven). A purposive sampling strategy was used to draw the sample (see *infra* 6.3.3).

## **1.8 EDITING AND REFERENCING**

This section briefly explains the editing of this thesis and the method used to acknowledge and record references or sources of information used.

### **1.8.1 Editing**

A professional language editor was engaged to proofread and technically edit this thesis. The professional language editor assisted to improve the language and writing style used by correcting tenses, grammatical and stylistic errors. A certificate certifying that this thesis has been professionally edited is attached as Annexure 9.

### **1.8.2 Referencing**

This study used the Harvard reference technique because of its ease of referencing or application and managing (Bell, 1993: 26; Brynard and Hanekom, 1997: 70). The quotations and/or sources used in this study are acknowledged and indicated by the surname of the author or the name of the organisation or government that authored the document or title of the document, followed by a comma, the date or year of publication, colon and the page number from which the quotation is extracted (for example, Mouton, 1996: 1).

The bibliography which lists all the sources consulted is arranged alphabetically according to the author's surname, name of the organisation or government that authored the document, date of publication, the title of the document, place of

publication and the name of the publisher (Bell, 1993: 25). This makes the process of referencing simple and guards against overlapping or repetition of authors (Bell, 1993: 158). However, in the text references (in-text references) are arranged chronologically. The footnotes have been used sparingly to avoid cluttering the thesis and distracting the reader.

## **1.9 STUDY SEQUENCE**

This study is made up of the following eight chapters:

**Chapter 1** provides an overview of the entire study: Implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. The chapter covers the background and rationale for the study, the research problem and questions, research aim and objectives, scope, conceptualisation of key concepts, a brief overview of the research design and methodology, editing and referencing, study sequence and summary.

**Chapter 2** focuses on the literature review on performance management. It examines the origins of the concept of performance management; defines performance management; explains the approaches to performance management and the distinguishing features of the performance management system technique. It discusses the integrative nature of the performance management system and identifies the steps to be followed to develop a performance management system. The chapter also identifies the objectives and benefits of introducing the performance management system. Lastly, it discusses the general problems encountered in the implementation of the performance management system.

**Chapter 3** defines an analytical framework. It identifies the purpose of an analytical framework in a study and provides justification for choosing the model of social programmes as an analytical framework for this study. Lastly, Chapter Three discusses in detail the eight core dimensions of the model of social programmes.

**Chapter 4** discusses the origins of the performance management system of the Botswana public service. The global origins of the performance management system were discussed in the literature review chapter (see *infra* 2.2). Chapter Four discusses the four innovations that were introduced in 1999 to improve the performance of the Botswana public service, namely performance management system, decentralisation, computerised personnel management system and human resource development.

**Chapter 5** explains the nature and content of the performance management system of the Botswana public service. It identifies the main components of the performance management system of the Botswana public service.

**Chapter 6** discusses the research design and methodology, population and sampling, designing and administering survey questionnaires, and explains the measures that were used to establish trustworthiness of the study findings of qualitative research. It discusses the ethical principles that were followed to safeguard the rights of respondents. Finally, it discusses the storage and destruction of research data.

**Chapter 7** deals with analyses and interpretations of research data. The research data was collected using four data collection instruments, namely literature review, document analysis, self-administered questionnaires, and follow-up personal interviews.

**Chapter 8** discusses realisation of the study aim and objectives, summary of the main conclusions of each chapter, limitations of the study, major findings of the empirical study, recommendations and areas of further research.

Finally, a bibliography and annexes to the text are provided.

## **1.10 SUMMARY**

This chapter has provided a general introduction to the study. The chapter covered the background and rationale for the study, the research problem and questions, research aim and objectives, scope, conceptualisation of key concepts, a brief overview of the research design and methodology, editing and referencing, study sequence and summary.

The next chapter reviews the literature on performance management.

## **CHAPTER 2**

### **LITERATURE REVIEW: PERFORMANCE MANAGEMENT**

#### **2.1 INTRODUCTION**

Chapter Two builds on the introductory chapter which provided an overview of the study. In particular, Chapter One provided a framework, clarified the problem statement and outlined the objectives of the study. This chapter reviews the literature on performance management. Firstly, the chapter examines the origin of the concept of performance management. Secondly, it provides a definition or meaning of performance management. Thirdly, this chapter explains the approaches to performance management.

Fourthly, it explains the performance management system technique. Fifthly, this chapter looks at the integrative nature of the performance management system. Sixthly, this chapter identifies the steps in the development of a performance management system. Seventhly, this chapter identifies the objectives and benefits of introducing the performance management system. Eighthly, this chapter identifies the general problems encountered in the implementation of the performance management system. A summary of the key issues raised concludes this chapter.

#### **2.2 ORIGIN OF PERFORMANCE MANAGEMENT**

Although performance management can be traced back to ancient times, the concept “performance management” was first used in 1976 by Beer and Ruh in their study of the performance management system at Corning Glass Works of the United States of America entitled “Employee growth through performance

management" (Beer and Ruh, 1976: 60; Armstrong and Baron, 1998: 43). The development of the performance management system at Corning Glass Works was to overcome the shortcomings of management by objectives.

According to Beer and Ruh (1976: 60 – 61), some of the shortcomings of management by objectives were the following: lack of accurate and objective performance feedback and failure by managers to effectively perform their triple role as managers, judges and helpers. In their role as managers, managers failed to effectively manage the performance of employees. As judges, managers failed to effectively evaluate employees' work performance and make administrative decisions about salary increases and promotions. Finally, as helpers, managers failed to develop and improve employees' performance.

In light of the above shortcomings, the performance management system was developed at Corning Glass Works to achieve the following. Firstly, to assist managers to provide helpful and constructive performance feedback to employees. Secondly, to assist managers and employees create a developmental plan to address employee developmental needs. Thirdly, to assist managers to differentiate and perform effectively their triple role of being manager, judge and helper (Beer and Ruh, 1976: 60 – 61).

Although the concept was coined in 1976 by Beer and Ruh, it was not widely used until the mid-1980s when it emerged in the United States of America as a new approach of managing performance. The first book to be published exclusively on performance management was written by R.J. Plachy and S.J. Plachy in 1988 entitled "Getting Results from your Performance Management and Appraisal System" (Armstrong and Baron, 1998: 43). In the United Kingdom, the first published record of performance management was by Don Beattie, former personnel director of the International Computers Limited (ICL), at a meeting of

the Institute of Personnel Management (IPM) Compensation Forum in 1987 (Armstrong and Baron, 1998: 44).

In the following section, a chronology of developments of the performance management is presented from ancient to modern times. As indicated above, performance management is not a new concept. Although performance management has a modern usage, its historical antecedents could be traced back to the Chinese dynasties and Biblical times. Individual performance management compared to operational and strategic performance management has the longest evolution in history (Brudan, 2009: online).

Historical accounts show that China has a long administrative heritage which goes as far back as the Qin dynasty which reigned from 221 -206 BC. It is reported that the Han dynasty that ruled from 206 BC to 220 AD used the merit principle by conducting examinations to recruit and promote those who served the emperor (United Nations, 2001: 45). The emperors of the Wei dynasty that ruled from 221 – 265 AD reportedly used an Imperial Rater to evaluate the performance of the official family members (Armstrong and Baron, 1998: 29; Wiese and Buckley, 1998: 234; Wilson and Western, 2000: 384; Glendinning, 2002: 161; Brudan, 2010: 112). The Chinese philosopher Sin Yu criticised the fairness of the Wei dynasty performance appraisal by noting that “the Imperial Rater of Nine Grade seldom rates men according to their merits, but always according to his likes and dislikes” (Patten 1977: 352 cited in Banner and Cooke, 1984: 328; Brudan, 2009: online).

The Bible refers to the evaluation of individual performance in Exodus 35 in approximately 1350 BC wherein the Lord commanded the people of Israel to devote six days of the week to build the Tabernacle (Wiese and Buckley, 1998: 234). The quest for measurements of performance and quality is traced to



around 2500 BC when ancient Egyptians started constructing pyramids, which are an engineering feat (Massey, 1999: 2; Brudan, 2009: online).

The origin of operational performance management is traced back to the emergence of accounting and management as a new field of study in the 13<sup>th</sup> century. Operational performance management was concerned with improving methods of operations. It initially used financial indicators and later non-financial indicators to measure performance. Performance measurement and management focused on quantity, price, economy, efficiency and effectiveness (Brudan, 2009: online; Brudan, 2010: 113).

Between 1540 and 1560, Ignatius Loyola established a formal rating system for members of the Society of Jesus or the Jesuits (Armstrong and Baron, 1998: 29; Brudan, 2009: online). In 1648, the Dublin (Ireland) Evening Post reportedly assessed legislators using a rating scale based upon personal qualities (Wiese and Buckley, 1998: 234 - 235; Brudan, 2009: online).

The earliest forms of performance appraisals were evident in both Britain and the USA in the 18<sup>th</sup> and 19<sup>th</sup> centuries (Furnham, 2004: 83 – 84). In the United States of America, performance appraisal programmes were developed in the late 18<sup>th</sup> century during the Industrial Revolution. It is believed that performance appraisals in industry started in the early 1800s in the New Lanark textile mills of Scotland with Robert Owen through the use of “silent monitors” (Banner and Cooke, 1984: 328; Wilson and Western, 2000: 384; Brudan, 2009: online; Brudan, 2010: 112). A piece of coloured wood was hanged over the machines to indicate the superintendent’s assessment of the previous day’s work - white indicated excellent, while yellow, blue and then black indicated poor performance (Prowse and Prowse, 2009: 70). In the late 1800s, the Federal Civil Service of the USA started merit ratings, otherwise known as efficiency ratings (Wiese and

Buckley, 1998: 235). In the 19<sup>th</sup> century, most Western armies were using performance appraisals (Furnham, 2004: 84; Brudan, 2009: online).

Strategic performance management has a recent history which is linked to the emergence of strategic management as a discipline in the 20<sup>th</sup> century. Strategic performance management is concerned with the management of performance at the individual, operational and strategic levels or the achievement of institutional objectives (Brudan, 2009: online; Brudan, 2010: 114). The origin of strategic performance management is traced to the 1940s when Japan's post-war reconstruction efforts began. This is the period when the Japanese Union for Scientists and Engineers and the Japanese Standards Association started to develop the total quality concept. This led to the development of the total quality management philosophy and the establishment of quality circles and focus groups in business institutions (Massey, 1999: 2).

The total quality movement brought impressive results for Japanese industry as it reduced wastage in production and delivery processes, increased manufacturing innovations, and produced high quality goods which were exported to North American and European markets. The total quality management approach emphasised economy and efficiency, meeting customer needs, linking organisational decisions to customer driven processes and recognising the contribution of all employees. The total quality management concepts were later popularised to North American and European businesses by W. Deming, J. Juran and Crosby (Massey, 1999: 2).

In light of the above, one may infer that from a conceptual point of view, not very much attention was paid to the meaning of performance management during the earlier years. Therefore, an analysis and definition of performance management is presented in the following section.

### **2.3 DEFINITION OF PERFORMANCE MANAGEMENT**

The concept of performance management has no standard definition as it is defined differently in different circumstances and administrative systems (Pollitt, 2001: 10; Chartered Institute of Personnel and Development, 2009: online). One of the reasons why it has no single definition is that it is a convenient generic term that is used to refer to a number of approaches adopted to measure and manage performance (Brown, 2005: 471; Tangen, 2005: 40; Chartered Institute of Personnel and Development, 2009: online). Pollitt (2005: 41) further argues that it varies in form and force among different countries.

For example, in the United Kingdom, performance management reforms emphasised accountability and control and making cost savings whilst the United States of America emphasised internal management and performance improvement objectives, and Australia emphasised management and performance improvement, accountability and control, and not cost savings. In terms of measuring actual performance, the United Kingdom emphasised efficiency and economy, whilst the United States of America and Australia emphasised outcomes, and efficiency in the case of the United States of America (Talbot, 1999: 17).

According to Pollitt (2005: 39), performance management is a multi-dimensional construct or concept that is always expanding and evolving. It started predominantly as financial in character but has now acquired a multi-dimensional character, incorporating producer concerns such as efficiency and cost-effectiveness as well as user concerns such as service quality and customer satisfaction.

As observed by Brown (2005: 472), the lack of an exact or precise definition of performance management affects its effective implementation. This is partly due to the fact that those responsible for its implementation may understand and interpret the concept differently and the education and training offered in performance management can vary significantly within and among the various stakeholders. This view is further supported by Brynard (2010: 197) who argues that the implementers often have divergent perspectives, viewpoints, meanings and interpretations of the issues involved because they come from varied disciplinary backgrounds, different departments and institutional ranks. Consequently, the implementers may not have a shared or common understanding of the performance management system which may lead to inconsistency in the implementation of the programme (de Waal, 2003: 689; Hill, 2003: 267; Tangen, 2005: 34).

Plachy (1987) defined performance management as “an umbrella term that includes performance planning, performance review, and performance appraisal” (cited in Armstrong and Baron, 1998: 43 - 44). Wescott (1999: 160) described performance management as a “system which links organisational goals to work plans, appraisal, capacity development, pay and incentives for individuals and teams.” In their study on performance management, Armstrong and Baron (1998: 51) noted that performance management is a “process of aligning or integrating organisational and individual objectives to achieve organisational effectiveness.”

In another study, Bowman (1999: 573) defined performance management as a “continuing cycle of goal setting, coaching, development, and assessment.” Das (2003) argued that performance management is an “ongoing process that articulates organisational vision and objectives, identifies and installs organisational and individual performance standards in light of these objectives,

and takes corrective action to ensure accomplishment of these standards using systems and procedures that are well-integrated with organisational culture and practices” (cited in Kelloway, 2004: 9).

From the foregoing it is clear that there are many different ways in which performance management can be defined. However, for the purpose of this study, performance management is defined as a strategic, integrated and holistic approach to the management of individuals, teams and institutional performance. It encompasses a broad array of issues concerned with the measurement, management and improvement of performance. These include objective-setting, performance planning, development of performance standards, performance review/appraisal and feedback, performance monitoring, communication or reporting of performance results, employee development, and recognition and reward of performance.

In the analyses of performance management as a concept above, it is clear that there are different approaches to performance management. Thus, the approaches to performance management are elaborated upon in the next section.

## **2.4 APPROACHES TO PERFORMANCE MANAGEMENT**

This section considers the four main approaches to performance management. These are the scientific management, trait-based, behaviour-based, and results-based approaches.

#### **2.4.1 Scientific management approach**

The genesis of formal systems of performance management is traced to the work of F. W. Taylor, the founding father of the scientific management movement (Armstrong and Baron, 1998: 29; Prowse and Prowse, 2009: 70). Taylor sought to promote a more rational management process by devising the best method of performing work; determining work to be performed, by whom and how; reporting what was actually done; and by linking employee pay to work performance (Levinson, 1970: 125). The classical or scientific management movement underlined the importance of control, order and formality in institutions (Armstrong, 1991: 208). Taylor viewed control as a prerequisite to achieving operational efficiency. H. Fayol on the other hand considered control as one of the essential functions of management (Pavlov and Bourne, 2011: 105). Scientific management originated in the USA. It was based on the analysis of existing work methods through observation and measurement. Following the analysis, an improved method could be devised and implemented, and its results monitored through ongoing performance measurement (Brudan, 2009: online).

Scientific management techniques were basically used for two purposes: to ensure that semi-skilled employees perform their routine tasks competently, diligently, and efficiently; and to ensure proper co-ordination of efforts so that goods and services could be produced in large quantities. Scientific management techniques were introduced into the production processes to address the problems of efficiency and scale through product standardisation, work process specialisation, creation of bureaucratic procedures and hierarchical structures, and the development of targets, role definitions, and detailed rules and procedures (Hamel, 2009: 92). The scientific management approach placed great emphasis on performance management at the micro-level within each operation, focusing on the work and the output of individual workers (Brudan, 2009:

online). The emphasis on productivity and efficiency necessitated the development of performance appraisals as tools to assess work performance (Banner and Cooke, 1984: 328).

#### **2.4.2 Trait-based approaches**

Trait-based approaches require judgements on the extent to which the employee possesses certain desired personal characteristics or traits deemed important for successful job performance (Bowman, 1999: 560). These traits include creativity, initiative, dependability, co-operativeness and intelligence (Allan, 2014: online). It is estimated that formal performance appraisals started in the USA in 1813 at the USA War Department with Army General Lewis Cass who evaluated the performance of each army official. The military was the pioneer in the development of performance appraisal techniques such as the man-to-man ranking, forced-choice and trait-rating scales (Banner and Cooke, 1984: 328; Wiese and Buckley, 1998: 235; Brudan, 2009: online). The performance appraisals were developed by industrial psychologists, human resources managers, organisational development and organisational behaviour consultants (Brudan, 2010: 112).

In 1842, the USA Congress mandated efficiency ratings of clerks in the public service which contained information on competence, faithfulness and attention (Bowman, 1999: 559). In 1912, the USA Civil Service Commission created a Division of Efficiency, to address public concerns about economy and efficiency. Formal performance appraisals were mainly used by the USA Army and government institutions in the late nineteenth and early twentieth century while most private institutions used informal measures to evaluate staff performance. Performance appraisals were chiefly used by the army and government institutions because of their large size, hierarchical structure, geographic

dispersal and the need to promote best performers to higher positions (Wiese and Buckley, 1998: 235; Brudan, 2009: online).

The development of performance appraisals in USA industry started with early work in salesman selection by industrial psychologists at Carnegie-Mellon University, who used trait psychology to develop a man-to-man rating system (Brudan, 2009: online; Brudan, 2010: 112). W.D. Scott was the American pioneer who introduced rating for workers in the USA industry before World War I. W.D Scott was influenced by Taylor to invent the man-to-man rating system or man-to-man comparison scale (Armstrong and Baron, 1998: 29 - 30; Wiese and Buckley, 1998: 235).

In 1914, the USA army used the W.D. Scott scale to assess officers' performance (Wiese and Buckley, 1998: 235; Wilson and Western, 2000: 384; Brudan, 2010: 112). Five scales were used to rank officers, namely: physical qualities; intelligence; leadership; personal qualities and the general value to the service (Wiese and Buckley, 1998: 236). Army officers were scored as "a good natured man" or "a knave despised by all" (Banner and Cooke, 1984: 328; Wiese and Buckley, 1998: 236; Brudan, 2009: online). The introduction of the W.D. Scott scale in the USA Army resulted in the replacement of the seniority system of promotion with merit-based promotion. Due to its success in the USA Army, the W.D. Scott scale was adopted by USA factories and the British Army (Armstrong and Baron, 1998: 30).

Frank and Lillian Gilbreth were influenced by Taylor's ideas to develop the concept of time and motion studies between 1915 and 1928. Time and motion studies required the measurement of every single movement undertaken by a worker during the course of their work. This new approach to performance



management came to be known as work study because it entailed the study of work methods and the measurement of work (Brudan, 2009: online).

In the 1920s and 1930s, there were numerous innovations in models of rating scales and techniques. The principles of capital investment appraisal, budgeting, performance measurement, variance accounting and return on investment were introduced by USA companies such as DuPont and General Motors to improve operational performance. Around this time, the W.D. Scott scale evolved into a graphic rating scale. In 1922, Donald Paterson introduced the graphic rating scale for the psychological community. The graphic rating scales assessed personality traits considered essential for success in one's work (Armstrong and Baron, 1998: 29-30; Wiese and Buckley, 1998: 235; Brudan, 2009: online).

The graphic or trait rating scales had the following weaknesses. Firstly, trait rating was considered subjective and impressionistic (Armstrong and Baron, 1998: 33; Wiese and Buckley, 1998: 242; Bowman, 1999: 560). Personality traits such as leadership, initiative, intelligence, co-operation, judgement, creativity, resourcefulness, innovativeness, and dependability were difficult to define and measure (Banner and Cooke, 1984: 327; Wiese and Buckley, 1998: 237). Administrative decisions such as promotions and salary increases were made not based on objective performance appraisals or merit but on arbitrary judgements and seniority (Levinson, 1976: 31; Banner and Cooke, 1984: 330; Wiese and Buckley, 1998: 236; Brudan, 2009: online).

Secondly, the methods used for measuring performance such as the global ratings and global essays were subjective. In global ratings, the rater estimated overall evaluation of performance in terms of the following categories: "outstanding," "satisfactory" and "needs improvement" while global essays attempted to answer the question "What is your overall evaluation of this person

over the last year?" (Wiese and Buckley, 1998: 236). Due to the qualitative nature of these methods, the raters could not account for differences in individual performance or compare ratings across departments and divisions. As a result of rater bias, errors and the subjectivity of these methods, the overall job performance ratings were questionable and could not withstand legal scrutiny due to the problem of reliable and valid measurement (Levinson, 1976: 31; Banner and Cooke, 1984: 328; Wiese and Buckley, 1998: 237; Bowman, 1999: 560).

Thirdly, graphic rating scales lacked a framework for employee development and performance feedback (Wiese and Buckley, 1998: 236). Fourthly, the graphic rating scales often tended to exclude top management from performance appraisals (Brudan, 2009: online). Finally, graphic rating scales tended to appraise performance based on previously established performance dimensions, focused on past performance instead of future performance, and were implemented by managers with little input from employees (Wiese and Buckley, 1998: 237; Brudan, 2009: online). As a result of the above weaknesses, the forced-choice and critical incident methods were introduced as alternative performance appraisal systems (Wiese and Buckley, 1998: 238).

#### **2.4.3 Behaviour-based approaches**

Behaviour-based approaches, unlike trait-based methods, emphasise behavioural data or what the employee actually does (Bowman, 1999: 560 - 561). The forced-choice method was used by the USA Army during World War II to improve the rating system through the introduction of sets of statements to be used by raters to describe job performance. The forced-choice method used a set of four statements, two favourable and another two unfavourable to rate employees' performance. According to this rating system, only one of the

favourable statements was added to the score and only one of the unfavourable statements was subtracted from the score. To reduce rater bias, raters were not given item scores or values for each statement (Wiese and Buckley, 1998: 238).

The forced-choice method had the following shortcomings. First, although the rating system was designed to reduce rater bias, it forced raters to choose only two statements (one favourable and another unfavourable) to rate employee performance. Second, the forced-choice method was secretive as raters did not know the item scores for the statements used for rating performance. Third, the scoring system of the forced-choice method was so complex that the results were misunderstood by employees (Wiese and Buckley, 1998: 242). Consequently, the performance scores were just numbers without any accurate ratings of job performance. Finally, due to the complexity, secrecy and limited choice of the statements used to assess performance; this rating system was not widely accepted by both the public and private sector (Wiese and Buckley, 1998: 238).

The critical incident method was developed during World War II as a performance appraisal technique that records positive and negative behavioural events or incidents that happen during a given performance period. It was initially developed to train pilots in take-offs and landings. In this method, the manager records important instances of effective or ineffective on-the-job performance. The manager observes and records behaviours that are deemed critical to the success or failure of a given job. That is, physical and mental qualifications as well as work habits and attitudes. These observations were then used as a basis for performance appraisal ratings (Flanagan and Burns, 1955: 95 – 96; Beer, 1981: 30; Wiese and Buckley, 1998: 238).

The advantages of the critical incident method were the following. It provided managers with a framework to observe and record performance based on the critical requirements of the job. The information gathered was used to provide performance feedback, coaching, and to make administrative decisions regarding employee selection, training, placement, transfer, promotion and demotion. The other advantage was that the recorded data lasted longer than the manager recording it. The manager had the information on paper or personnel folders rather than relying on hunches or memory. Record keeping ensured that hard evidence or verifiable information was used for performance appraisal (Flanagan and Burns, 1955: 100; Levinson, 1976: 36; Armstrong and Baron, 1998: 38).

The critical incident method had the following shortcomings. Firstly, the accuracy of this performance appraisal technique was affected by rater inference since the overall rating was based on the record of behaviours that the manager deemed critical to job performance. Secondly, the critical incident method was considered complex, costly and time-consuming (Wiese and Buckley, 1998: 238). As observed by Levinson (1976: 36), it is complex to scale and rate behaviour. Thirdly, the critical incident method was criticised for its micro-management feature as managers kept a "black book" on employees (Armstrong and Baron, 1998: 38; Bowman, 1999: 561). Lastly, the results of the critical incident method were deemed misleading because they tended to focus on mistakes rather than achievements or extreme and extraordinary elements than the normal day-to-day performance (Wiese and Buckley, 1998: 239).

The behaviourally anchored rating scales were designed to reduce the rating errors of the critical incident method and the graphic rating scales. The behaviourally anchored rating scale defines the performance dimensions to be evaluated in behavioural terms and uses critical events to anchor or describe different performance levels. The performance dimensions were rated on a scale

based on behavioural descriptions such as “continually contributes new ideas and suggestions,” “takes a full part in group meetings and contributes useful ideas frequently” or “generally uncooperative” (Armstrong and Baron, 1998: 39; Bowman, 1999: 561).

The behaviourally anchored rating scales were rarely used because it was practically impossible to develop a rating scale for each job category. Secondly, the technique was costly and time-consuming to develop and use. Finally, managers preferred to use personal attributes (trait scales) than the non-trait technique of behaviourally anchored rating scale (Armstrong and Baron, 1998: 40; Bowman, 1999: 561 - 562).

#### **2.4.4 Results-based approaches**

Results-based approaches focus on the achievement of results (Bowman, 1999: 562). Due to the limitations of trait rating, forced-choice and critical incident methods, new performance appraisal systems based on management by objectives were developed in the 1950s. The term “management by objectives” was coined by P. Drucker in his book “The Practice of Management” published in 1954. In 1957, D. McGregor applied the management by objectives approach to performance appraisals in his article entitled “An uneasy look at performance appraisal” (McGregor, 1957: 91; Sherwin, 1976: 149; Armstrong and Baron, 1998: 33; Wiese and Buckley, 1998: 240; Brudan, 2009: online).

McGregor recommended that the management by objectives approach be used to appraise employees on the basis of short-term performance goals set by the employees themselves. Under this approach, the employee was supposed to define his or her job responsibilities and goals, assess his or her own strengths and weaknesses, and develop an action plan to achieve his or her goals. The

manager and the employee were to discuss jointly and modify the performance goals and action plans to suit the realities of the institution. The performance goals were supposed to be specific, realistic, measurable and time bounded (McGregor, 1957: 91; Wiese and Buckley, 1998: 240).

At the end of a given performance period, the employee had to conduct a self-appraisal of what he or she had achieved in comparison to the set performance targets. The self-appraisal had to be substantiated with factual data. The manager and the employee had to conduct a performance appraisal interview to validate the employee's self-appraisal. The interview should be held at the end of the year to determine whether the employee had achieved the agreed upon objectives whereupon a rating was given to the employee indicating one of the following "excellent," "above average," "average," and "failed to meet." After the completion of the interview, the employee has to start the performance appraisal cycle by developing new objectives and action plans for the next year, and if necessary to indicate measures to be undertaken to improve areas of inadequate performance (McGregor, 1957: 91; Banner and Cooke, 1984: 327).

McGregor believed that the management by objectives approach was superior to the previous performance appraisal systems in many respects. First, it promoted participative management and a positive approach to performance appraisal by shifting emphasis from appraisal to analysis, and towards employee empowerment and development (Berman, 2002: 349; Brudan, 2009: online). Performance appraisals were no longer conducted to identify employee weaknesses only but also strengths and potentials, and the employee was no longer a passive but an active agent in the performance appraisal by being involved in performance planning, setting of performance targets and development of action plans. Second, the management by objectives approach

recognised that the employee, and not the manager, knows best his or her own capabilities, needs, strengths and weaknesses (McGregor, 1957: 91 - 92).

Third, the management by objectives approach redefined the role of the manager from that of a judge of the employee's personal worth to a coach who assists the employee to achieve his or her objectives. Fourth, it promoted communication between the manager and the supervisee regarding job responsibilities, objectives, plans and results (McGregor, 1957: 92 - 93; Beer and Ruh, 1976: 59; Wiese and Buckley, 1998: 240).

Fifth, the management by objectives approach was futuristic in the sense that it shifted the focus from past performance and behaviours to future performance and actions. Sixth, it shifted the focus of performance appraisals from evaluation of personality traits to performance results. Lastly, it introduced objectives setting to the performance appraisal process (McGregor, 1957: 92 - 93; Beer and Ruh, 1976: 59; Levinson, 1976: 30; Sherwin, 1976: 155; Wiese and Buckley, 1998: 240).

The main limitation of management by objectives was its overemphasis on the measurement and quantification of objectives. Consequently, customer service and the quality of performance were overlooked as the main concentration was on quantification of objectives. It often tended to focus exclusively on individual objectives, especially for managers. The individual objectives were often misaligned to institutional objectives, hence performance appraisal was considered irrelevant. Objectives also tended to be activity centred instead of output centred. It was often implemented in a top-down approach with more emphasis placed on form-filling and the role of the managers ignoring the rest of the workforce. The earlier versions of management by objectives imposed

paperwork burdens (Levinson, 1970: 127; Armstrong and Baron, 1998: 36 - 37; Wiese and Buckley, 1998: 240 – 241; Berman, 2002: 349).

Lastly, the implementation of the management by objectives approach was considered complex and time-consuming because it required job analysis and inferential skills to determine which performance dimensions to measure and the goal achievement standards to use (Wiese and Buckley, 1998: 240). Although it focused on achievement of results, it was inadequate in terms of observation and evaluation of employees' behaviour. It could not assist employees to adopt or modify their behaviour in order to improve their performance (Beer and Ruh, 1976: 60 - 61).

Given the limitations of earlier approaches to performance management, a modified form of results-based performance appraisal was introduced in the 1970s. It was known as results-based performance appraisal because it combined the agreement of objectives with an evaluation of the results achieved. This was the precursor to the performance management that emerged in the mid-1980s as a response to the shortcomings of merit-rating and management by objectives, and dictates of the market economy and entrepreneurial culture. The earlier versions of performance management entailed many elements of the earlier approaches such as objective-setting, performance review, performance-related pay and trait assessment. As time progressed, the term "performance appraisal" was supplanted by performance management, which had entered into the management vocabulary by the 1990s (Armstrong and Baron, 1998: 44, 47).

In the next section, the performance management system technique and its distinguishing features are described.



## **2.5 PERFORMANCE MANAGEMENT SYSTEM TECHNIQUE**

The performance management system technique was used in the 1980s and 1990s to bring about change in public sector culture and ethos. The competitive pressures from globalisation in the 1980s and 1990s compelled institutions to find new ways of measuring and managing performance (Ittner and Larcker, 1998: 217; Kaplan, 1998: 99; Dahlström and Lapuente, 2009: 9). The introduction of the performance management system technique resulted in a shift from the historic public service culture to a performance culture. The historic service culture was based on the principle of experience and equality, that is, employees in the same job with the same experience and qualifications were paid equally and had the same prospects of promotion, irrespective of performance (Furnham, 2004: 84).

The performance culture, on the other hand, was based on the principle of equity and managed by means of performance, which meant that two employees in the same job with the same experience and qualifications should not be paid the same unless their productivity is the same. As explained by Furnham, equitable pay-for-performance systems were vigorously resisted by trade unions in the 1980s. Consequently, institutions revised the equitable reward system by narrowing the difference between the top award and the bottom which resulted in the newer principle of equity being supplanted by the old principle of equality (Furnham, 2004: 84 - 85).

The introduction of the performance culture necessitated that managers provide supervisees with regular feedback on work performance. It also required that specific objectives and targets be set with clear and measurable success criteria such as key performance indicators or key result areas. Moreover, it required

that data be collected on performance, and regular progress reviews and meaningful performance appraisals be conducted (Furnham, 2004: 84).

Performance management is considered as one of the key practices of people management. It is used as a tool to assist employees to understand how they contribute to the strategic goals and objectives of the institution, to ensure that the right skills, activities and efforts are focused on the things that really matter to the institution and will enhance work performance (Chartered Institute of Personnel and Development, 2009: online). According to the originators of the concept performance management, Beer and Ruh (1976: 60), the following characteristics make the performance management system distinguishable from other performance management techniques or systems:

- It recognises the manager's triple role as a manager, judge and helper in performance management.
- It emphasises both employee development and evaluation.
- It uses a personal profile to identify individual employee's strengths and developmental needs relative to oneself rather than to others.
- It integrates the results achieved (management by objectives) and the means to achieve the objectives (inputs or resources).

According to Armstrong and Baron (1998:45), other characteristics of the performance management system include the following:

- The vision of the institution is communicated to all employees. The departmental and individual performance objectives set are linked to institutional objectives.
- Regular formal performance reviews are conducted to assess progress towards planned and agreed targets. The formal performance review process is also used to identify training and development needs and to reward outcomes.

- The whole process of the performance management system is evaluated to improve its efficiency and effectiveness.
- The performance targets are stated in terms of measurable outputs, accountabilities and training or learning targets.
- The formal performance appraisal procedures are used to communicate performance requirements on a regular basis. The performance requirements are linked to rewards (pay), especially for senior managers.

Davenport and Gardiner (2007: 304) have further identified additional five characteristics of the performance management system:

- Cascading objectives (translating strategic objectives into individual objectives).
- Measuring outcomes against benchmarks (measuring the outputs or outcomes against the set performance targets and standards).
- Providing performance feedback (giving feedback on the level of performance).
- Extrinsic rewards (providing rewards to recognise good performance).
- Amendments to objectives and activities (regular update and review of objectives and activities to maintain their relevance).

According to Fletcher and Williams (1996: 169), the following three elements are central to the performance management system:

- The development of a mission statement and business or strategic plan, and the enhancement of communications within the institution, so that employees are not only aware of the objectives and the business/strategic plan, but can also contribute to their formulation.
- The clarification of individual responsibilities and accountabilities through job descriptions and clear role definitions, leading to the definition and measurement of individual performance.

- Implementing appropriate reward strategies (which in many instances is judged to include some form of performance-related pay) and developing staff.

Fletcher and Williams (1996: 170) state that the performance management system is owned and driven by line management and not by the human resources department. According to these two authors, the performance management system emphasises shared corporate goals and values. In addition, they are of the opinion that the performance management system seeks to establish a clear relationship between performance and reward. With regard to the frequency of appraisals, Schneier (1989: 212) and Longenecker and Ludwig (1990: 968) believe that the appraisal of performance should be carried out throughout the year, and not once in a year.

## **2.6 STRATEGIC FIT AND ETHICAL CONTENT OF THE APPRAISAL PROCESS**

A review of the literature showed that the performance management system has four basic processes: (1) developing performance standards, (2) negotiating and communicating the standards, (3) observing performance levels, and (4) providing feedback and coaching employees (McCune, 1989: 201). According to Beer and Ruh (1976: 61), the performance management system has three parts, namely management by objectives, performance development and review, and evaluation and salary review. These authors further state that performance development and review is a new matter that was brought to the performance management system to address the difficulty of providing accurate and objective performance feedback.

A step-by-step approach was developed to address this challenge. First, the manager using a performance description questionnaire observes and describes the behaviour of the supervisee. Second, using a performance profile, the manager analyses the supervisee's strengths and weaknesses. Third, through the developmental interviews, the manager assists the supervisee to adopt or modify behaviour to one that promotes effective performance. During the developmental interviews, both the manager and the supervisee jointly identify areas for improvement and establish plans to address the supervisee's developmental needs (Beer and Ruh, 1976: 62).

As explained by Beer and Ruh (1976: 64), the developmental interviews are distinct from management by objectives sessions and appraisal/evaluation sessions. The performance description questionnaire and the performance profile are tools that the manager utilises to differentiate development from management by objectives and evaluation. According to these authors, the use of the performance description questionnaire and the performance profile assists to reduce the uneasiness associated with the developmental interview. They argue that developmental interview encourages both the manager and the supervisee to engage in open, constructive and non-defensive discussion of performance as it allows the two to discuss the discrepancies they may have.

The individual performance development plans and objectives are developed to effect change (Beer and Ruh, 1976: 64). The individual performance development plans identify the core competencies required to achieve personal objectives. The developmental needs of the employees are addressed through training programmes. Davenport and Gardiner (2007: 304) argue that the importance of the developmental or the reward component of the performance management system varies depending on the underlying values and strategy of the institution. According to Kelloway (2004: 9), performance management

systems focus on performance improvement through collecting, analysing and communicating information in a timely fashion.

Although there is no ideal performance management system package, it is generally agreed that the performance management system components should be linked, mutually re-enforcing and have a strategic fit (Verweire and Van den Berghe, 2003: 784; Davenport and Gardiner, 2007: 304 - 305). According to Verweire and Van den Berghe (2003: 784 – 786); Davenport and Gardiner (2007: 304), the performance management system frameworks emphasise a strategic approach to the following human resource management policies and practices:

- The human resource management policies and practices should be linked or aligned to support institutional objectives and strategy. There should be a strategic alignment or fit of the managerial and operational processes, reward and human resource systems to ensure achievement of strategic objectives. Cause-and-effect relationships should exist between human resource management and the desired outcomes.
- Strategic objectives should be cascaded from the corporate level to individual employees. Individual objectives should correspond with strategic objectives and continuously updated to adapt to the changing environment. Appropriate institutional structures should be developed to support strategic objectives.
- Individual objectives should be owned by employees who should be educated, trained and empowered to use the performance management system.
- Flexibility and institutional learning should be emphasised to suit particular or specific circumstances.
- In addition to strategic alignment, there should be internal consistency in the application of human resource management policies to individual

employees, to employees of a similar position, and human resource management policies and practices should be consistent over time.

The performance management literature shows that institutions have different approaches towards the application of the performance management system. However, as Strebler, Robinson and Bevan (2001) cited in Furnham (2004: 88 – 89) indicate, there are principles that are critical to the performance management system. These principles can be placed in a so-called performance management model. Among the principles that are necessary for the performance management system to operate effectively are:

- It should have clear or specific aims and unambiguous (measurable) success criteria. It should be regularly and openly reviewed against its success criteria.
- It should be designed and implemented with the full involvement of all employees who should find it relatively simple to understand and easy to use.
- It should emphasise role clarity and performance improvement. Employees should have a clear understanding of their individual and institutional objectives. Its effective implementation should be central to all managers' performance objectives.
- It should be supported by a well resourced training and development programme.
- It should make crystal clear the purpose of recognition and reward and build in proper equity and transparency safeguards.

All performance management systems are subject to errors because of the very nature of the system and human behaviour. This emphasises the fact that performance management fundamentally has inconsistencies in behaviour and this can be linked to the ethical side of the human resource function. In this

regard, it is important that the performance management system should be underpinned by professionalism and ethical behaviour. In this connection, Winstanley and Stuart-Smith (1996: 66) have identified the following principles to provide the basis for a professional and ethical approach to the management of performance:

- Respect for the individual – performance management processes should be tailor-made to meet individual requirements.
- Mutual respect – performance management processes and systems should value and accord respect to both the manager and the employee.
- Procedural fairness – there should be fair and just (equitable) treatment of employees in the appraisal process. The performance management system should be administered consistently and fairly (objectively) without discriminating against any employees.
- Transparency of decision making – for the performance management system to work well, there should be transparency (openness) about how the programme works and how decisions emanating from performance management affect individual employees.

Without a professional and ethical approach to performance management the system is destined to fail. For this reason, the Chartered Institute of Personnel and Development (2009: online) identified three ethical principles: effectiveness; strategic and integrated. These principles assist institutions to achieve success with performance management in the following ways:

- Effectiveness: ensuring that employees have the knowledge and ability to perform. This squarely places the responsibility on the shoulders of the employer to train employees on performance management.
- Strategic: placing a major emphasis on broader issues and longer-term goals. That is, the focus should not only be on short-term results but should also include longer-term strategic goals and objectives.



- Integrated: linking the various aspects of the institution in terms of people management, individuals and teams. Performance management is not only concerned with people but also with processes, systems, outputs and outcomes.

As alluded to in the definition of performance management and the preceding paragraph, the performance management system is by its very nature integrated. Thus, the next section discusses its integrative nature.

## **2.7 INTEGRATED NATURE OF THE PERFORMANCE MANAGEMENT SYSTEM**

The performance management system is an integrated approach that combines a number of components or systems in the institutional structure. It has two critical components, namely the performance appraisal system and human resource management systems. All these components form an integral part of the performance management system and are complementary to each other. The two critical components are discussed below.

### **2.7.1 Performance appraisal system**

The performance appraisal system is a critical component of the performance management system. The performance appraisal system is considered a *sine qua non* for any effective performance management system. In most institutions, performance appraisals are considered a fact of institutional life (Longenecker, Liverpool and Wilson, 1988: 311; Longenecker, 1997: 212; Abraham, Karns, Shaw and Mena, 2001: 843; Verheijen and Dobrolyubova, 2007: 211; Fryer, Antony and Ogden, 2009: 480; Maley, 2009: 1). According to Pavlov and Bourne (2011: 102), the performance appraisal system is a major instrument of

performance management which provides and integrates all information critical for making decisions related to the task of managing institutional performance. The same authors further argue that the performance appraisal system forms an integral part of the institution, and has the capability to produce a major institutional impact and affect a multitude of institutional processes that drive institutional performance (Pavlov and Bourne, 2011: 104).

Similarly, Bourne, Neely, Mills and Platts (2003: 3) argued that performance appraisal is an integral part of the management planning and control system of the institution. Performance appraisal is considered a tool for effecting change, improvement and a cornerstone for efficient and effective management of any institution (Amaratunga and Baldry, 2002: 217; Kennerley and Neely, 2002: 1222; Franco-Santos and Bourne, 2005: 114). As explained by Longenecker and Ludwig (1990: 964), performance appraisal systems must be viewed as both a tool for the manager's use to improve employee, department and institutional performance and as a set of data to be used by the human resource department in the management of a broad array of human resource functions. According to these authors, performance appraisal is a means for the manager to prompt, encourage, reward and motivate and an end to the human resource department to determine critical human resource decisions such as compensation, promotion, training and employee development (Longenecker and Ludwig, 1990: 967).

Performance appraisal is defined as a formal documented system used by institutions to regularly measure and evaluate an individual employee's performance and behaviour in a given time period, usually one year (Banner and Cooke, 1984: 327; Wilson and Western, 2000: 384). Theoretically, it is defined as an objective, rational and systematic attempt on the part of the manager to accurately describe employee performance (Longenecker, 1989: 77). Appraisals are conducted by the employee's immediate manager (Bowman, 1999: 565).

According to Amaratunga and Baldry (2002: 217), performance appraisal systems were historically developed as a way of monitoring and maintaining institutional control so as to ensure that an institution pursues strategies that lead to the attainment of overall goals and objectives.

Performance appraisal systems are generally used to evaluate and monitor individual and institutional performance; to link individual performance to institutional objectives; to improve work performance; to correct poor performance and promote continued satisfactory performance; to identify areas of strengths and weaknesses; to improve dialogue and communication between managers and employees; to create desired employee behaviours; for coaching and counselling; to identify training and development needs; and to validate administrative decisions regarding salary increases, promotions, demotions, terminations and transfers (Banner and Cooke, 1984: 327; Longenecker and Ludwig, 1990: 961; Boice and Kleiner, 1997: 197; O'Donnell, 1998: 30; Bowman, 1999: 557; Wilson and Western, 2000: 384; Williams, 2003: 643; Rees and Porter, 2004: 29; Fryer, Antony and Ogden, 2009: 480).

Fryer, Antony and Ogden (2009: 481) identified four aspects of the performance appraisal, namely: (i) deciding what to measure, (ii) how to measure it, (iii) interpreting the data, and (iv) communicating the results. Firstly, deciding what to measure involves the development of performance indicators. Early performance management practices were concerned mainly with quantitative indicators (normally financial and numerical) excluding qualitative indicators (Pavlov and Bourne, 2011: 103). As noted by Ittner and Larcker (1998: 217) and Bourne, Neely, Mills and Platts (2003: 4), early performance measures were internally focused; historical and backward looking; lacked predictive ability to explain future performance; rewarded short-termism; did not capture key institutional changes until it was too late; did not measure intangible assets and

intellectual capital; were not linked to strategy; and were more concerned with departmental performance than with the overall performance of the institution. As a result, they were not comprehensive and failed to provide full information on all areas critical to institutional success or performance (Halachmi, 2005: 506).

However, in the late 1980s and early 1990s, more balanced performance measurement systems were introduced such as the performance measurement matrix, the results and determinants framework, the balanced scorecard, the strategic measurement and reporting technique and performance prism (Kennerley and Neely, 2002: 1224; Bourne, Neely, Mills, and Platts, 2003: 4). Data collection is often time-consuming and expensive (Kennerley and Neely, 2002: 1233). As argued by Fryer, Antony and Ogden (2009: 481), performance indicators fall into four categories, namely: (i) output (how much is being produced), (ii) welfare (the value to the final users), (iii) performance (how the services are being produced), and (iv) composite indicators that integrate the other three.

The choice of performance measures is one of the most serious challenges facing institutions (Ittner and Larcker, 1998: 205). Institutions often lack appropriate skills to design performance measures or quantify performance (Ammons, 2002: 344; Kennerley and Neely, 2002: 1238). The capacity to gather performance data is often lacking in many institutions (Berman, 2002: 350). In addition, performance measures are hardly used by institutions (de Lancer Julnes and Holzer, 2001: 694). One explanation for this is that it may be expensive to obtain, use and maintain performance measures (Dikolli, Hofmann and Kulp, 2009: 127). The second explanation relates to the technical measurement challenges that hinder the development of measures that are valid, reliable, timely and useful (Dull, 2008: 263).

The second step after deciding what to measure, that is, the development of performance indicators, is to decide how, and the frequency of measurement. Fryer, Antony and Ogden (2009: 483) contend that it is important to know the following in order to develop an effective indicator: (1) the assumptions regarding the indicator and the rationale for measuring it; (2) the precision and accuracy of any measurements; (3) congruence – many indicators are proxies so it is essential that the indicator changes in line with the actual behaviour; (4) whether a static measure - a value at a point in time or a vector - a value and direction of change is more appropriate. Generally, a vector will be more informative, but institutions normally use static measures, (5) whether a soft or hard measure is required; (6) if the indicator is going to measure results or behaviour; and (7) what are likely intended and unintended consequences of the measurement system. These authors further argue that it is essential that an operational definition for the indicator be developed, the data are replicable, and the data sources are clearly defined.

Regarding the frequency of measurement, the general trend is that indicators tend to focus on short-term results at the expense of the long-term or quality goals and objectives. The data collected, analysed and communicated is often outdated. This is often the case with lagging or reactive indicators which report results after the event had occurred. Lagging indicators provide information about past performance. Examples of lagging indicators are annual reports, and annual customer satisfaction surveys. To address the shortcomings of lagging indicators, institutions are now moving to leading indicators which are used to predict future performance or communicate the direction of future performance. For example, employee satisfaction can be used to predict customer satisfaction (Grizzle, 2002: 363; Epstein and Roy, 2005: 78; Fryer, Antony and Ogden, 2009: 483 - 484; Pavlov and Bourne, 2011: 107).

The third step is interpreting the data or results. According to Bourne, Kennerley and Franco-Santos (2005: 384), interpretation is concerned with extracting meaning from the performance appraisal system. There are two main problems associated with this step, namely: (i) how to collect data and (ii) how to turn the data into information that could be used as the basis for management decision making (Fryer, Antony and Ogden, 2009: 484). Institutions often lack the appropriate skills to effectively collect, analyse and interpret data (Kennerley and Neely, 2002: 1233).

Fourthly, the last step is communicating the results. Performance reporting is less documented (Fryer, Antony and Ogden, 2009: 484). The traditional methods of performance reporting such as the annual report provided limited performance information with inadequate explanation or comparative data which compelled stakeholders to interpret the results for themselves. As a result of this limitation, new methods such as the dashboards, a weighting factor that combines indicators, and the performance information portfolio had been recommended for the communication of results. It is advised that performance reporting should be timely so as to ensure that the information is presented while still relevant (Fryer, Antony and Ogden, 2009: 485).

According to Kennerley and Neely (2002: 1237), a performance appraisal system is composed of three components, namely: (1) individual measures that quantify the efficiency and effectiveness of actions; (2) a set of measures that combine to assess the performance of an institution as a whole; and (3) a supporting infrastructure that enables data to be acquired, collated, sorted, analysed, interpreted and disseminated. Kennerley and Neely (2002: 1242) noted that a performance appraisal system needs the following four enabling factors to function efficiently and effectively:

- Process: the existence of a process for reviewing, modifying and deploying measures.
- People: the availability of people with the appropriate skills and training to use, reflect on, modify and deploy measures.
- Infrastructure: the availability of flexible systems that enable the collection, analysis and reporting of appropriate data.
- Culture: the existence of a measurement culture within the institution that ensures the value of measurement, and importance of maintaining relevant and appropriate measures.

The performance management literature showed that it is often difficult to develop effective performance appraisal systems. Performance appraisal systems are not generic or easily transferable from one institution to another. Generally, performance appraisal systems are often poorly designed as they are developed primarily for the sake of external performance reporting, and not for internal performance management (Boice and Kleiner, 1997: 197; Ammons, 2002:345; Rees and Porter, 2004: 29; Halachmi, 2005: 504; Bento and White, 2006: 52; Fryer, Antony and Ogden, 2009: 481; Maley, 2009: 1; Hildebrand and McDavid, 2011: 42).

Moreover, institutions often encounter challenges to develop objective and formula-based evaluations, hence, they often use performance appraisal systems based on subjective evaluations. Subjective performance evaluations have the following limitations. They increase the possibility of the institution reneging on its promise to reward superior performance because the evaluations are not verifiable, and are also liable to favouritism and rater bias (Ittner and Larcker, 1998: 228; Moynihan and Pandey, 2010: 860).

### **2.7.2 Human resource management systems**

The second critical component of the performance management system is strong human resource management systems (Verheijen and Dobrolyubova, 2007: 211). Effective human resource management systems are essential to attract, develop and retain skilled and competent labour and to improve individual and institutional performance by creating an enabling work environment and promoting positive values, attitudes and behaviours that enhance performance (Commonwealth Secretariat, 2010: 89). Some of the human resource management systems that are critical to the successful implementation of the performance management system include effective communication, feedback, monitoring, evaluation and reporting; strategic planning and information and communications technology; accounting and audit; recruitment and selection and recognition and reward (Schneier, 1989: 206; Berman, 2002: 350; Bouckaert and Peters, 2002: 359; Halachmi, 2005: 508; Verheijen and Dobrolyubova, 2007: 211; Nielsen and Ejler, 2008: 172; Fryer, Antony and Ogden, 2009: 480).

It is critical that the performance management system be supported and aligned with strong human resource management systems (de Waal, 2004: 308). For instance, effective recruitment and selection systems are needed to ensure that the institution has employees with the requisite knowledge, skills and abilities (McCune, 1989: 200). Strategic planning systems are needed to maintain strategic focus, drive the performance management process, avoid short-termism and the unintended negative effects of performance measurement (Verheijen and Dobrolyubova, 2007: 211; Fryer, Antony and Ogden, 2009: 489). Performance-oriented management systems are critical as they support both the process and the outcomes of performance management to deliver properly at different levels of the institution (Adhikari, 2010: 311).



Information and communications technology systems are needed to provide reliable and valid performance information and to automatically capture, process, analyse and report the data for the key performance indicators (de Waal and Counet, 2009: 369). Monitoring and evaluation systems are needed to determine whether the implementation of the performance management system is on the right track (Verweire and Van den Berghe, 2003: 786). The performance management system must be audited to ensure the accuracy of the data generated and the overall integrity of the process (Longenecker and Ludwig, 1990: 968).

Strong human resource management systems require strong leadership at both the political and administrative levels. Without strong human resource management systems even the best designed performance management system would fail. The human resource management systems are often weakened by capacity constraints in public services (Verheijen and Dobrolyubova, 2007: 212).

One conclusion that may be drawn from the literature reviewed is that in practice, it is often difficult to integrate all the components or systems of the performance management system to ensure successful implementation. The systems that form an integral part of the performance management system are often inadequate or not completely integrated with the programme (Bouckaert and Peters, 2002: 359; Kiragu and Mutahaba, 2006: 7; Halligan, 2007: 232; Fryer, Antony and Ogden, 2009: 489). For example, the performance management system is often implemented without some of its essential supporting tools such as the performance based reward system, balanced scorecard, information and communications technology system, and monitoring and evaluation system (Dull, 2008: 261). The integration of the performance management system with strategic planning and budgeting systems and human

resource management systems is often weak (Bowman, 1999: 567; Pollitt, 2005: 33).

As argued by Pollitt (2001: 9), the systems that are integral to the successful implementation of the performance management system are often developed separately as parallel systems that are incompatible. For example, line item budgets which have separate appropriation or budget lines for salaries, travel, office supplies and so on, are difficult to integrate with the performance management systems because they emphasise compliance with input appropriations rather than inputs of performance management information (Pollitt, 2001: 18). It is important to note that the components of the performance management system complement or support each other and failure to effectively implement one or more of the components affect the implementation of the programme.

A step-by-step approach is required to successfully develop and implement the performance management system. What follows next are steps needed in the development of a performance management system.

## **2.8 STEPS IN THE DEVELOPMENT OF A PERFORMANCE MANAGEMENT SYSTEM**

Performance management is an ongoing process, and not a once-a-year, snapshot event. It therefore operates as a continuous cycle (Armstrong and Baron, 1998: 111; Halachmi, 2005: 511). The development of the performance management system involves the following steps.

### **2.8.1 Determination of the institution's mission and strategic goals and objectives**

The first step in the development of the performance management system is the determination of the institution's mission and strategic goals and objectives (Boice and Kleiner, 1997: 197; Armstrong and Baron, 1998: 59). According to McCune (1989: 195), mission statements provide the strategic direction and rationale for corporate plans and basically answer the questions of "*what* is to be accomplished and for *whom*?" There are two critical tasks that are undertaken when developing the corporate mission statement – determining the strategic objectives and identifying and prioritising the important stakeholders in the institution. This also entails the identification of strategic performance measures. Armstrong (2006: 54) defined objectives as something that has to be achieved by institutions, departments and individuals over a given period of time.

### **2.8.2 Determination of the departmental and individual objectives**

The second step after the identification of the institutional mission and strategic goals and objectives, is to translate the institutional mission and strategic goals and objectives into departmental and then individual objectives. The individual and institutional objectives should be aligned (Fletcher and Williams, 1996: 170; Chartered Institute of Personnel and Development, 2009: online). The alignment of objectives is one of the key tasks for performance management (Chartered Institute of Personnel and Development, 2009: online). Individual objectives constitute the employee's personal performance targets. The individual performance objectives are agreed between the manager and the supervisee. The aim is to create a greater feeling of ownership, not the imposition, of objectives (Armstrong, 2006: 56). This is also done to promote a more open and

positive working relationship between the manager and the supervisee (Chartered Institute of Personnel and Development, 2009: online).

It is assumed that the involvement of employees and gaining their commitment to institutional objectives and values will lead to higher acceptance, motivation and improved performance at the individual level (Fletcher and Williams, 1996: 171). The manager and the supervisee work out the specific objectives and their measurements. This involves the clarification, specification and communication of job roles, job description, responsibilities and performance standards, explaining how the personal job performance is linked to the overall performance of the institution and why objectives need to be achieved (Schneier, 1989: 212; Boice and Kleiner, 1997: 197).

The setting of performance standards assists employees to understand what they should be doing, how to do it and the performance results expected (Chartered Institute of Personnel and Development, 2009: online). Performance standards provide a basis for an objective review (Kirkpatrick, 1986: 69). They also ensure that there are no surprises and confrontations during the performance review (Longenecker, 1989: 80; Sahl, 1990: 54). The development of individual objectives allows the employee to know well in advance the standards by which performance will be assessed. It is important that clear, understandable and measurable objectives are developed for each job position (Sahl, 1990: 53). According to Stainer and Stainer (1998: 116), the main purpose of performance measurement is to drive behavioural change in the desired direction.

### **2.8.3 Signing of performance and development agreement**

The third step involves the signing of performance and development agreement, also known as the performance contract (Armstrong and Baron, 1998: 59).

Performance agreements commit senior public servants to achieve certain institutional objectives and targets (O'Donnell and Turner, 2005: 616). A performance agreement defines performance expectations, that is, the work to be done, the results to be attained, the performance standards to be achieved and the competence levels required to achieve the results (Armstrong, 2006: 18).

The clarity of performance expectations is necessary to build understanding of the results employees have to achieve (Guinn and Corona, 1991: 74). The agreement is usually reached at a formal review meeting and recorded during or after the meeting on a performance review form. The work to be done is agreed in terms of key result areas or principal accountabilities whilst in the case of relatively routine jobs such as administrative and clerical duties, is by reference to main tasks or duties (Armstrong and Baron, 1998: 59; Taylor and Pierce, 1999: 424).

#### **2.8.4 Development of the performance and development plan**

The fourth step in the development of the performance management process is the performance and development plan. The performance and development plan is a joint exploration between the manager and the supervisee of what the supervisee need to do and know and the skills and competencies that need to be developed in order to improve his or her performance, and how the manager can provide the support, guidance and coaching needed (Armstrong and Baron, 1998: 61).

The performance aspect of the performance and development plan focuses on the agreement on what has to be done to achieve objectives, raise standards and improve performance, and the key aspects of the job which need to be given

the most attention. Agreement is also reached on the methods of measuring performance and analysing evidence of levels of competence. It is critical that the manager and the supervisee have such an agreement because it will be used to monitor progress and document achievements (Armstrong and Baron, 1998: 61).

At the individual level, this step includes the preparation and signing of a personal development plan. The personal and development plan provides an action plan for employee development with the support of the manager and the institution. It lays out the actions that the employee should take to develop his or her knowledge and skills and increase his or her levels of competence (Armstrong, 2006: 19). This may be achieved through formal training, self-managed learning, job rotation, coaching, counselling, mentoring, project work, job enlargement and enrichment. Personal development planning is considered a key aspect of the performance and development management process (Armstrong and Baron, 1998: 61).

### **2.8.5 Work, development and support**

The fifth step is taking action, that is, work, development and support. Performance management assists employees to get into action so that they attain planned and agreed results. This step is a work-and people-related activity that focuses on what has to be done, how it should be done, what is to be achieved, and what has to be done to do even better in the future. This step is also concerned about the development of employees, assisting them to learn and providing them with the necessary support they require in order to perform well, now and in the future (Armstrong and Baron, 1998: 61 - 62; Armstrong, 2006: 49).

Beer (1981: 25) has identified the following as the goals of coaching and development: (1) to improve supervisees performance and develop future potential; (2) to develop commitment to the institution through discussion with supervisees of career opportunities and career planning; (3) to motivate supervisees through recognition and support; (4) to strengthen manager-supervisee relations; and (5) to diagnose individual and institutional problems. According to Meyer, Kay and French (1965: 127), coaching should be a day-to-day, not a once-a-year, activity. They provide two reasons why coaching should be a day-to-day activity. First, employees tend to reject criticisms if provided in high numbers as is the case with comprehensive annual performance appraisals. Secondly, performance feedback is ineffective if provided after a prolonged time between the performance and the feedback.

#### **2.8.6 Continuous monitoring and feedback**

The sixth step is continuous monitoring and feedback. Performance management is a continuous process of managing and developing performance standards, monitoring and measuring performance, providing performance feedback, conducting informal progress reviews, updating objectives, dealing with performance problems, and taking appropriate corrective action (Armstrong and Baron, 1998: 62; Armstrong, 2006: 19). This step promotes the continuous process of monitoring and managing performance throughout the year in order to support the achievement of institutional objectives. As observed by Halachmi (2005: 511), performance is viewed as an ongoing process and not a once-off, snapshot event.

This step also requires that managers observe the supervisee's actual performance on a regular basis, store and later recall relevant performance data (Longenecker, 1989: 78). It further requires that managers provide supervisees

with regular and instant performance feedback, developmental feedback, coaching and reinforcement on the work they have done satisfactorily or unsatisfactorily (McCune, 1989: 202; Guinn and Corona, 1991: 74; Armstrong and Baron, 1998: 62; Chartered Institute of Personnel and Development, 2009: online). Performance feedback assists supervisees to learn about themselves, how they are performing, and what management values (Beer, 1981: 26).

### **2.8.7 Formal performance review and feedback**

The seventh and last step in the performance management process is formal review and feedback. Formal performance review meetings are held between the manager and the supervisee. They are supposed to be ongoing and regular, open, objective and honest. They may be held monthly, quarterly or twice a year. They provide a platform to assess progress against performance targets and for structured performance feedback and reflection. They also provide an opportunity to talk about performance and development (Longenecker, 1989: 79 – 80; Armstrong and Baron, 1998: 64; Chartered Institute of Personnel and Development, 2009: online).

Regular performance reviews are held to keep performance objectives at the forefront of the employees' daily work, to reinforce the importance of the process to the institution, to provide opportunities for the clarification of objectives, and to review employees' progress toward planned results (Sahl, 1990: 56). Making reviews an ongoing activity assists to eliminate the anxiety associated with performance appraisals by providing employees with ongoing feedback on their performance and by forcing managers to be in regular and constant contact and communication with their supervisees (Longenecker, Liverpool and Wilson, 1988: 318; Longenecker, 1989: 80).



Regular reviews assist to keep employees' performance on the right track and to take the mystery out of the formal appraisal process by keeping employees informed of their performance throughout the performance plan period (Longenecker, Liverpool and Wilson, 1988: 319). It also assists the manager to manage short-run changes in work priorities, to take immediate corrective action to address poor performance problems, and provides the data for the formal performance review (Longenecker, 1989: 80). Conducting regular performance reviews assists to eliminate selective memory by the manager and the supervisee as performance is documented and recognised (Boice and Kleiner, 1997: 198).

The formal review meeting is a joint affair between the manager and the supervisee. The joint review meeting emphasises dialogue, shared understanding, agreement and mutual commitment between the manager and the supervisee (Armstrong and Baron, 1998: 386). It is important that both the manager and the supervisee adequately prepare for the performance review. Ideally, during the review meeting, the manager and the supervisee should talk 50/50 or half the time. The review meeting is supposed to be a two-way communications process. The supervisee should have input into the final review or appraisal, the determination of strengths and weaknesses, and the development of a performance improvement plan (Kirkpatrick, 1986: 69; Longenecker, Liverpool and Wilson, 1988: 318).

There should be an element of self-assessment and self-managing by the supervisee to enhance his or her role and involvement in the review process. Self-appraisals promote the interactive nature of the review process (Longenecker, Liverpool and Wilson, 1988: 318; Guinn and Corona, 1991: 74). According to Boice and Kleiner (1997: 200), self-appraisals can lead to self-improvement, and assist the manager to gain an insight as to how the supervisee views his or her performance. In addition, self-appraisals assure the

manager that the supervisee has had time to prepare for the review (Kirkpatrick, 1986: 69). The review requires measurements of performance (Sahl, 1990: 53).

The review meeting focuses on analysis and review of the significant points emerging from the performance period under consideration. It takes note of what has been achieved and what has not been achieved in order to draw lessons for the future. It notes the progress made in implementing the personal development plan. It also affords the supervisee the opportunity to discuss his or her performance and to comment on the leadership, support and guidance he or she receives from the manager (Armstrong and Baron, 1998: 64). Above all, it allows for clarification and revision of objectives, priorities and other performance-related factors such as changing conditions of the job and institution needs (Sahl, 1990: 56; Boice and Kleiner, 1997: 199).

The main purpose of the review meeting is developmental (improvement of future performance) and not judgemental (fault-finding). It is not a top-down appraisal session where the manager makes a unilateral judgement about the supervisee's performance and behaviour. The role of the manager during the review meeting is to provide constructive feedback and to listen to what the supervisee has to say about his or her performance and development needs. The manager has to provide specific, behavioural feedback and coaching and not criticise the supervisee's performance (Guinn and Corona, 1991: 72; Armstrong and Baron, 1998: 65). As explained by Longenecker (1989: 80), the review meeting is a useful communication tool used for stocktaking with the primary aim of improving employee performance and development.

If the review takes the form of an appraisal session, an overall rating of the supervisee's performance will be given. In this case, the supervisee should be accorded the opportunity to comment on the overall performance rating. The

employee may get a reward or recognition for meeting or exceeding the performance expectations (Guinn and Corona, 1991: 72; Taylor and Pierce, 1999: 424). Some institutions do not require an overall performance rating (Armstrong and Baron, 1998: 66). To conclude, it is important to note that the performance management system should be evaluated to assess its strengths and weaknesses, impact and whether it is achieving its intended objectives (Chartered Institute of Personnel and Development, 2009: online). Studies show that managers and employees often do not understand how the different steps of the performance management system relate to each other (Bento and White, 2006: 52).

There are many reasons why institutions introduce the performance management system. The next section identifies some of the objectives and benefits of the performance management system.

## **2.9 OBJECTIVES AND BENEFITS OF THE PERFORMANCE MANAGEMENT SYSTEM**

In general, institutions introduce the performance management system as an important tool to improve individual and institutional performance and productivity, product or service quality, cost effectiveness, operational efficiency, customer service, accountability and responsiveness, and to achieve value for money (Longenecker, 1989: 76; Longenecker, 1997: 212; Schneier, 1989: 205; Bale and Dale, 1998: 103; Pollitt, 2001: 11; Ammons, 2002: 344; Hope, 2002: 534; Brown, 2005: 471; Kiragu and Mutahaba, 2006: 7; Fryer, Antony and Ogden, 2009: 478). More specifically, the performance management system is introduced to achieve the following objectives and benefits.

First and foremost, the performance management system is introduced to create a performance culture; appraise employee performance; achieve sustainable improvements in individual and institutional performance; to assess performance against set objectives; to align individual and institutional objectives; to improve management of resources; to create a motivated and committed workforce and to bring about change in culture and ethos (Fletcher and Williams, 1996: 169; Boice and Kleiner, 1997: 197; Armstrong and Baron, 1998: 51; Wiese and Buckley, 1998: 233; Nankervis and Compton, 2006: 87; Brudan, 2009: online). In light of the above, Bouckaert and Peters (2002: 359) concluded by noting that performance management is considered a key to the modernisation process of the public sector.

Secondly, the performance management system generates performance information that promotes evidence-based management and rational decision making (de Lancer Julnes and Holzer, 2001: 693; Ammons, 2002: 344; de Waal, 2003: 688; Mayne, 2007: 92; Dormer and Gill, 2010: 45). The performance management system is used by institutions as a tool to enhance the objectivity and validity of administrative decisions regarding appointments, salary increases, training, promotions, demotions, terminations, retentions, and transfers (Sherwin, 1957: 63; Beer and Ruh, 1976: 59; Levinson, 1976: 30; Beer, 1981: 25; Bale and Dale, 1998: 106; Brudan, 2009: online). Thirdly, the performance management system provides ongoing opportunities for managers to support, guide, coach and counsel employees (McGregor, 1957: 89; Armstrong and Baron, 1998: 52; Wiese and Buckley, 1998: 234).

Fourthly, the performance management system contributes to human resource development by providing performance feedback on employee strengths and weaknesses; mentoring, coaching and counselling; suggesting changes in employee behaviour, attitudes, skills or job knowledge; and by identifying

employee training and development needs (Bricker, 1992: 70; Longenecker, 1997: 212; Armstrong and Baron, 1998: 52; Wiese and Buckley, 1998: 243; de Waal, 2003: 688; Nankervis and Compton, 2006: 87). Training and development contribute to personal and professional growth and aim to rectify deficiencies in employee performance and to improve staff competencies (Armstrong and Baron, 1998: 81).

Fifthly, the performance management system provides a results-oriented framework that promotes performance and strategic planning; objective setting; regular performance review; resource allocation; programme management, monitoring, evaluation and reporting; quality service; customer service; stakeholder focus; and ownership, responsibility and accountability for results (Bale and Dale, 1998: 106; de Lancer Julnes and Holzer, 2001: 695; Henderson and Hacker, 2002: 1-6; Kiragu and Mutahaba, 2006: 7; Nankervis and Compton, 2006: 85; Washington and Hacker, 2009: 1-5).

Sixthly, the performance management system provides a framework that promotes ongoing communication and dialogue between managers and employees on issues relating to performance, quality, review of progress and objectives, and training and development needs (Armstrong and Baron, 1998: 53; Rees and Porter, 2004: 32). The ongoing communication and dialogue between managers and employees may increase employee motivation, satisfaction and commitment to the institution as well as create shared understanding of performance expectations (Bricker, 1992: 70; Armstrong and Baron, 1998: 52; Wiese and Buckley, 1998: 234; O'Donnell, 2005: 618).

Seventhly, the performance management system is introduced to encourage continuous performance improvement and develop a learning institutional culture. A learning institution has structures and processes that improve the

institution's ability to react to, adapt to, and capitalise on changes in its internal and external environment (Amaratunga and Baldry, 2002: 222).

Finally, the performance management system assists institutions to deal with legal issues or risks of litigation by using valid and reliable instrument of measuring individual employee's performance; documenting job responsibilities; employees' strengths and weaknesses in the performance reviews; corrective administrative action taken to improve unsatisfactory performance; and administrative decisions regarding promotions, pay increases, terminations, demotions and transfers (Sashkin, 1981: 49; Banner and Cooke, 1984: 328; Bricker, 1992: 69; Boice and Kleiner, 1997: 200; Armstrong and Baron, 1998: 52; Wiese and Buckley, 1998: 244; Glendinning, 2002: 166; Mani, 2002: 142).

As already indicated under the background and rationale and the research problem for the study (see *supra* 1.2 and 1.3.1), the implementation of the performance management system is problematic and fraught with difficulties and complexities. Therefore, the next section discusses the general problems encountered in the implementation of the performance management system.

## **2.10 GENERAL PROBLEMS ENCOUNTERED IN THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM**

Below are some of the general problems encountered by institutions when implementing the performance management system. First, there are human or behavioural factors that affect the successful implementation of the programme. Generally, there is a reluctance to implement the performance management system by staff members because of fear of performance appraisals and resistance to change or fear to adopt new ways of doing things. Managers are often unwilling to appraise supervisees' work performance while supervisees on

the other hand do not want to be evaluated (McGregor, 1957: 89; Beer and Ruh, 1976: 59; Levinson, 1976: 44; Beer, 1981: 27; Bricker, 1992: 69 – 70; Longenecker, 1997: 212; O'Donnell, 1998: 32; Bowman, 1999: 557; O'Donnell and O'Brien, 2000: 27; Bourne, Neely, Platts and Mills, 2002: 1301; Ford, 2004: 551; Norris and Kushner, 2007: 9).

Performance appraisals are often perceived by both managers and supervisees as lacking procedural fairness (Winstanley and Stuart-Smith, 1996: 68). There is often fear that performance would be assessed unfairly and subjectively and that performance appraisals may be used as a political tool to reward favourites and to punish the less favoured (Pollitt, 1986: 168; Bowman, 1999: 567; O'Donnell and O'Brien, 2000: 21; Grizzle, 2002: 366; O'Donnell, 2005: 622). In cases where the performance appraisals are used as a political tool, instead of promoting a performance-oriented culture, the performance management system will lose credibility and employees will sabotage its implementation (de Waal, 2004: 303; de Waal and Counet, 2009: 369 – 370; Fryer, Antony and Ogden, 2009: 480). Lack of trust and credibility are some of the general problems that hinder the successful implementation of the performance management system (Longenecker, 1989: 77; Dahlström and Lapuente, 2009: 6).

The reluctance to implement the performance management system is also attributed to lack of requisite technical and conceptual knowledge and skills, training and education required to implement and manage the programme. Generally, managers often lack appropriate skills and training in performance planning; goal/objective setting; supervisory and people management skills; communication and interpersonal skills; decision making; conflict resolution; coaching and counselling; setting performance standards; performance measurement tools; and rating and conducting good performance appraisal interviews. Supervisees on the other hand often lack training in how to set

objectives; how to measure and document performance accomplishments; how to adequately prepare for performance appraisal interviews; and how to communicate all aspects of performance (McGregor, 1957: 89; Beer, 1981: 27; Sashkin, 1981: 43; Kirkpatrick, 1986: 69; Longenecker, 1989: 81; Longenecker, 1997: 216; Bricker, 1992: 70; Boice and Kleiner, 1997: 198; O'Donnell and O'Brien, 2000: 27; Ford, 2004: 558; Fryer, Antony and Ogden, 2009: 482).

Another explanation why managers and supervisees are often reluctant to implement the performance management system is that they view the programme as an extra management chore, compliance burden and a new form of management surveillance and control that is used to police the performance management process (Sherwin, 1957: 70; Schneier, 1989: 210; Bricker, 1992: 69; Winstanley and Stuart-Smith, 1996: 69; Wilson and Western, 2000: 389; Berman, 2002: 349; Rees and Porter, 2004: 29; Moynihan, 2005: 236; Dull, 2008: 260; Ohemeng, 2009b: 21; Prowse and Prowse, 2009: 72). Due to the daily institutional work pressures, deadlines and time constraints, the implementation of the performance management system in most institutions is often a secondary priority (Bowman, 1999: 567; Bourne, Neely, Platts and Mills, 2002: 1296; de Waal and Counet, 2009: 368).

The implementation of the performance management system often takes considerable resources, time and effort than originally planned without producing immediate results which ultimately leads to programme implementation losing momentum before it is institutionalised (Kaplan, 1998: 111; Bourne, Neely, Platts and Mills, 2002: 1289; de Waal and Counet, 2009: 368). Consequently, many institutions often have difficulties maintaining momentum over the long term (Mayne, 2007: 94). Staff members may view the costs of designing and implementing the performance management system as far greater than the potential benefits.



The final human factor relates to resistance to change or fear to adopt new ways. New and complex programmes such as the performance management system that require fundamental changes in management practices, values and norms and involve a large number of employees and multiple stakeholders are often difficult to implement (Beer and Ruh, 1976: 65; Bourne, Neely, Platts and Mills, 2002: 1289; Moynihan, 2005: 221; Mayne, 2007: 89; Fryer, Antony and Ogden, 2009: 489; Brynard, 2010: 194). This problem is further exacerbated by lack of performance management culture or result-oriented culture in most institutions (de Waal, 2004: 301; Mayne, 2007: 92; de Waal and Counet, 2009: 367; Ohemeng, 2009b: 1; Broad and Goddard, 2010: 64). In addition, institutional learning is a major challenge for many institutions (Mayne, 2007: 94).

It is often difficult for institutions to shift from the entrenched command and control or old bureaucratic culture to the performance-oriented culture (Ohemeng, 2009b: 14; Brudan, 2010: 116). The implementation of the performance management system is often more difficult in the public sector than in the private sector because it is slower to effect behavioural/attitudinal and institutional change in the former due to the multi-faceted nature and the political environment in which the public sector operates (Mayne, 2007: 91; Fryer, Antony and Ogden, 2009: 482; Ohemeng, 2009b: 2; Brudan, 2010: 116; Ohemeng, 2010a: 126).

Second, it is often difficult to develop and implement an effective performance management system. There are inherent technical problems relating to the complexities and dynamics of the design and implementation processes; evaluation of performance; devising appropriate performance criteria, rating instrument and good performance indicators; collecting and interpreting performance data; and communicating performance results (Longenecker, 1997:

213; Pollitt, 2001: 13; Bourne, Neely, Platts and Mills, 2002: 1298; de Waal, 2003: 689; Halachmi, 2005: 504; Bento and White, 2006: 52; Fryer, Antony and Ogden, 2009: 481; Maley, 2009: 1).

Generally, institutions often do not invest adequate human and financial resources, time and efforts to customise the performance management system to suit their specific characteristics, needs and contexts (Boice and Kleiner, 1997: 197; Fryer, Antony and Ogden, 2009: 482). Institutions seldom carry out compatibility or pilot/ readiness test before they embark on full-scale implementation of the programme (Kaplan, 1998: 111; de Lancer Julnes and Holzer, 2001: 703; Bouckaert and Peters, 2002: 360; Kennerley and Neely, 2002: 1227; Christensen and Laegreid, 2008: 17). The implementation of the performance management system often fails because of hurried implementation (Pollitt, 1986: 168). Furthermore, its implementation is often based on best practice rather than best fit to the institutional environment (Armstrong and Baron, 1998: 388). Implementers are often given limited guidance on how to implement the programme (Hill, 2003: 266).

Third, the implementation of the performance management system often lacks broad-based public, political and administrative support (Polidano, 2001: 346). This is partly because most performance management systems are often designed and implemented using top-down rather than bottom-up or participatory approaches (Ohemeng, 2009b: 4; Ohemeng, 2010b: 127). Top-down approaches rarely involve the public or stakeholder participation in the design and development of the programme (Polidano, 2001: 350; Furnham, 2004: 92; de Waal and Counet, 2009: 369; Fryer, Antony and Ogden, 2009: 492; Ohemeng, 2009b: 23).

According to Moynihan and Pandey (2010: 856), popular participation is at variance with the technocratic decision making approaches, hence the reluctance by public managers to involve all key stakeholders into performance management systems. This point is echoed by Pollitt (1986: 168) who observed that senior politicians and senior officials often exclude the general public because of the uncertainty and time-consuming untidiness of direct consultation. Consequently, the implementation of the performance management system is often imposed upon staff members or mandated (Beer and Ruh, 1976: 65; Bouckaert and Peters, 2002: 361; Fryer, Antony and Ogden, 2009: 489).

Due to lack of stakeholder participation in the design and development of the performance management system, the implementation of the programme often lacks legitimacy, buy-in, approval, support and commitment of the general public, political leaders, staff members and trade unions (de Waal and Counet, 2009: 369; Ohemeng, 2009b: 23; Ohemeng, 2010b: 127). As a result of lack of involvement and consultation, performance management systems are often viewed by staff members as outside the scope of their real jobs and as human resource department systems that are forced upon them (Longenecker, 1989: 81; Schneier, 1989: 209). The reasons for implementing the performance management system are often poorly understood by staff members (Beer and Ruh, 1976: 65; Schneier, 1989: 208; de Waal and Counet, 2009: 369).

Fourth, the implementation of the performance management system is often hampered by resource constraints and lack of institutional capacity. Institutions often start the implementation with insufficient resources (budget) and capacity (human resources) (Pollitt, 1986: 159; Polidano, 2001: 347; Kennerley and Neely, 2002: 1236; Moynihan, 2005: 238; Kiragu and Mutahaba, 2006: 7; de Waal and Counet, 2009: 368; Ohemeng, 2009b: 4; Ohemeng, 2010b: 125). This is partly so because the implementation of the performance management system

in the public service is often externally imposed by international development agencies/international financial institutions or mandated by government policy regardless of the institution's ability to implement the programme (Ittner and Larcker, 1998: 233; Talbot, 1999: 22; de Lancer Julnes and Holzer, 2001: 702; Micheli and Kennerley, 2005: 127; Samaratunge, Alam and Teicher, 2008: 28).

Institutions often lack the experience, knowledge and expertise to implement the performance management system, hence rely on management practitioners, consultants, academics and professional organisations to assist them during implementation. The use of outside expertise sometimes complicates the implementation by creating differences of understanding and interpretation between the experts, political leaders, programme designers, implementers and users resulting in confusion and ambiguity (Brynard, 2010: 200).

As argued by Kaplan (1998: 104), consultants and practitioners may not fully understand the new concept which may result in it being implemented badly. It is important that the implementation should be undertaken by knowledgeable and skilled consultants and practitioners who have experience in designing performance management systems and have already addressed some of the implementation challenges (Guinn and Corona, 1991: 72; Kaplan, 1998: 107).

Fifth, performance management programmes such as the performance management system which were originally developed in advanced industrialised countries are not easily transferable to conditions in developing countries such as those in Africa and Latin America (Ingraham, 1993: 349; Schick, 1998: 123; Polidano, 2001: 346; Polidano and Hulme, 2001: 298; de Waal, 2007: 72). The literature shows that a programme that works well in one setting may be inappropriate in another context different from where it had been originally developed and applied (Kaplan, 1998: 106; Furnham, 2004: 88). Due to the

problems of transferability, the implementation of the performance management system in developing countries had been problematic.

Comparatively, implementation of the performance management system has fared better in countries of the Anglo-Saxon administrative tradition than those of "*Rechtsstaat*" traditions; in majoritarian party systems than in consensualist systems; in countries which had long tenures of right-wing governments that embraced the basic New Public Management doctrines; in countries where there is clear separation of careers between politicians and senior civil servants; in countries with cultures that score lower on uncertainty avoidance and higher on individualism than in countries that score higher on uncertainty avoidance and high on collectivism; and in countries with established traditions of administrative reforms and strong and stable public administration systems (Ayeni, 2001: 3; Pollitt, 2005: 28; Christensen and Lægreid, 2008: 9; Bouckaert and Halligan, 2009: 6; Dahlström and Lapuente, 2009: 2).

Sixth, implementation of the performance management system is often constrained by institutional and environmental factors such as reorganisations, restructurings, mergers, acquisitions, and budget cuts (Verweire and Van den Berghe, 2003: 787; de Waal and Counet, 2009: 369; Fryer, Antony and Ogden, 2009: 478; de Waal, 2010: 60). The institutional and environmental factors often distract institutions from focusing fully on the implementation by creating conflicting demands on resources and management's time, effort and attention (Bourne, 2005: 111). According to Verweire and Van den Berghe (2003: 784), the implementation of the performance management system will be difficult in institutions where the following five management and institutional processes are undeveloped: goal-setting; operational; support; control; and organisational behaviour processes and structures.

Seventh, implementation of the performance management system is often hampered by lack of clearly stated and understood institutional vision, mission, strategy and objectives. In cases where the institutional vision, mission, strategy and objectives are ambiguous, the institution will face difficulties to develop relevant and appropriate critical success factors, key performance indicators, and institutional, team and individual performance objectives and targets (Bourne, Neely, Platts and Mills, 2002: 1289; Bourne, Neely, Mills and Platts, 2003: 18; Verweire and Van den Berghe, 2003: 787; de Waal, 2004: 303; Dull, 2008: 261; de Waal and Counet, 2009: 370). Strategic alignment or strategic fit is considered a *sine qua non* for effective implementation because it creates a fit between institutional strategy and the integral components of the performance management system (Verweire and Van den Berghe, 2003: 782; Davenport and Gardiner, 2007: 304).

Eighth, implementation of the performance management system is often difficult in institutions where there is no link between performance and the recognition and reward systems (Bourne, Neely, Mills and Platts, 2003: 18; Verweire and Van den Berghe, 2003: 788; de Waal and Counet, 2009: 371). According to Schneier (1989: 206), recognition and reward systems are critical to the success of large-scale change. In institutions where good performance is not recognised and rewarded, the implementation will be difficult (Mayne, 2007: 92). In the public sector, there is often lack of distributive justice. That is, the distribution of rewards is not proportionate to the contribution employees make (Kelloway, 2004: 8). Monetary rewards such as salary increases and bonuses are frequently awarded on an across-the-board basis without any direct link to actual job performance (Schneier, 1989: 208; Bowman, 1999: 568).

Ninth, the implementation of the performance management system will be difficult in institutions where there is no person, team or unit appointed to

oversee the development and implementation of the programme (Bourne, Neely, Platts and Mills, 2002: 1296; Mayne, 2007: 95; de Waal and Counet, 2009: 371). If there is no performance management system facilitator/co-ordinator, team or unit to own, coordinate, monitor and drive implementation, the programme will not be given top priority. Thus, a strong and credible champion/leader or leadership team is required for successful implementation (Mayne, 2007: 92; Dull, 2008: 256). Well trained, skilled and highly motivated change agents are needed to implement the performance management system (Kaplan, 1998: 109).

Tenth and lastly, implementation of the performance management system is often affected by change of management. If the previous management who supported the implementation of the performance management system is replaced by a new and unsupportive management, the pace of implementation may slow down because the programme will be given low priority, or it may be abandoned due to lack of top management support (Kaplan, 2001: 368; Bourne, Neely, Platts and Mills, 2002: 1303; de Waal and Counet, 2009: 372).

## **2.11 CONCLUSION**

This chapter reviewed literature on performance management. First, it examined the origin of the concept performance management. It was explained that the concept "performance management" was first used in 1976 by Beer and Ruh in their study of the performance management system of Corning Glass Works in the United States of America entitled "Employee growth through performance management." However, the literature review indicated that performance management is not a new concept. Its historical antecedents were traced to the Chinese dynasties who reigned from 221 – 206 BC and Biblical times.

Second, this chapter provided a definition of performance management. For the purposes of this study, performance management was defined as a strategic, integrated and holistic approach to the management of individuals, teams, and institutional performance. It encompasses a broad array of issues concerned with the measurement, management and improvement of performance such as objective-setting, performance planning, development of performance standards, performance review and feedback, performance monitoring, communication or reporting of performance results, employee development, and recognition and reward of performance.

Third, this chapter explained the four approaches to performance management, namely scientific management, trait-based, behaviour-based, and results-based approaches. The scientific management approach sought to promote more rational management techniques by devising the best method of performing work; determining work to be performed, by whom and how; reporting what was actually done; and by linking employee pay to work performance. Trait-based approaches require judgements on the extent to which the employee possesses certain desired personality characteristics or traits deemed important for successful job performance such as creativity, initiative, dependability, judgement, co-operativeness, and intelligence. In contrast, behaviour-based approaches focus on behavioural data or what the employee actually does. Finally, results-based approaches focus on the achievement of performance results.

Fourth, this chapter explained the performance management system technique and its distinguishing features. The performance management system technique was described as one of the key practices of people management that was used in the 1980s and 1990s in response to the competitive pressures of globalisation and to bring change in public sector culture and ethos. The following were



identified as the distinguishing features of the performance management system: it recognises the manager's triple role as a manager, judge and helper in performance management; it emphasises the importance of aligning departmental and individual objectives with institutional objectives; it recognises the importance of conducting regular performance reviews to assess progress towards planned and agreed targets; it underscores the importance of staff training and development to address employee training and development needs; links performance to pay; and emphasises the importance of communicating the vision, mission and strategic plan to all employees.

Fifth, this chapter discussed strategic alignment or strategic fit between the performance management system, human resource management policies and practices, institutional objectives and strategy. Sixth, it discussed the integrative nature of the performance management system. In this context, two critical components of the performance management system were explained, namely performance appraisal and human resource management systems.

Seventh, this chapter identified the seven steps that are followed in the development of a performance management system. The seven steps are (1) determination of the institution's mission and strategic goals and objectives, (2) determination of the departmental and individual objectives, (3) signing of the performance and development agreement or performance contract, (4) development of the performance and development plan, (5) work, development and support, (6) continuous monitoring and feedback, and (7) formal performance review and feedback.

Eighth, this chapter identified the objectives and benefits of the performance management system. They include, among others, the following: to provide a results-oriented framework that improves individual and institutional

performance and productivity; product or service quality; cost effectiveness; operational efficiency; strategic planning; stakeholder focus; promote ownership, responsibility and accountability for performance results; and evidence-based management and rational decision making.

Finally, the chapter identified the general problems encountered by institutions when implementing the performance management system. These include, amongst others, the following. First, there are human or behavioural factors such as fear of performance appraisals, negative attitudes towards the performance management system, and resistance to change that often make staff members to be reluctant to implement the performance management system. Second, there are inherent technical problems often encountered by institutions when designing and implementing the performance management system. These technical problems include complexities and dynamics of implementation; problems of assessing staff performance; devising appropriate performance criteria, rating instrument and good performance indicators; collecting and interpreting performance data and communicating performance results.

Third, implementation of the performance management system is often hampered by resource constraints and lack of institutional capacity. Fourth, institutions often encounter problems to customise the performance management system to suit their contexts. Fifth, implementation is often constrained by institutional and environmental factors such as reorganisations, restructurings, mergers, acquisitions, and budget cuts. Sixth, implementation is often constrained by misalignment of the programme with institutional strategy and other integral components of the performance management system such as the performance appraisal and human resource management systems. Seventh, implementation often encounters problems because institutions often implement

the programme based on best practice rather than best fit to the institutional environment. Lastly, implementation is often affected by change of management.

The next chapter discusses the analytical framework selected for this study.

## **CHAPTER 3**

### **ANALYTICAL FRAMEWORK FOR THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM**

#### **3.1 INTRODUCTION**

Chapter Two reviewed the literature on performance management. It, *inter alia*, discussed the origin and definition of performance management, approaches to performance management, described the performance management system technique and its distinguishing features, objectives and benefits of implementing the performance management system, and the general problems encountered in its implementation. Chapter Three discusses the analytical framework selected for this study.

The selected analytical framework will assist the researcher to understand the execution or translation of the performance management system into practice, and to identify factors that facilitate and hinder its successful implementation. First, this chapter defines an analytical framework. Second, it identifies the purposes of an analytical framework in a study. Third, it provides justification for choosing the model of social programmes as an analytical framework for this study. Fourth, it discusses in detail the eight core dimensions of the model of social programmes and concludes with a summary of the main points.

#### **3.2 DEFINITION OF AN ANALYTICAL FRAMEWORK**

An analytical framework is an orientation or general way of looking at the phenomenon under consideration. It provides assumptions, concepts and forms

of explanation (Neuman, 2006: 74). The model of social programmes, which is used as analytical framework for this study, looks at implementation in terms of the eight main features or dimensions of social intervention programmes. The eight main dimensions are discussed in Section 3.4 below. The next section discusses the purposes of an analytical framework in a study.

### **3.3 PURPOSES OF AN ANALYTICAL FRAMEWORK IN A STUDY**

An analytical framework serves the following purposes. First, it assists the researcher to answer research questions. Though the literature review may answer some of the research questions, it is often inadequate, hence the use of the analytical framework (Bhattacharjee, 2012: 23). Second, an analytical framework assists a researcher to better understand and analyse the research problem (Babbie and Mouton, 2001: 366; Vandenabeele and Hondeghem, 2008: 245). Third, an analytical framework enables the researcher to carry out a systematic and rigorous investigation of the research problem by identifying concepts and theories that are pertinent to describe and explain the studied phenomenon (Mouton, 1996: 11; Badenhorst, 2007: 21). Bhattacharjee (2012: 23) argues that without an analytical framework, a researcher may end up measuring a wide range of concepts which are irrelevant or tangential, and thereby producing results that are meaningless or invalid.

Fourth, an analytical framework assists to structure or organise the study in a logical manner (Vandenabeele and Hondeghem, 2008: 245). As explained by Badenhorst (2007: 21) and Bhattacharjee (2012: 23), it provides the logical basis for empirical testing, data analysis, interpretation and drawing conclusions. In this respect, Badenhorst describes the analytical framework as “the thread which runs through the entire project, from the beginning until the final conclusions.” Similarly, Neuman (2006: 74) points out that an analytical framework provides

assumptions, concepts, and forms of explanation. In short, an analytical framework assists in the explanation of study findings. Finally, it compels the researcher to be focused and clear in defining concepts and articulating arguments (Davila, 2008: 54).

The researcher has to choose an analytical framework that is appropriate to investigate the research problem and answer the research questions of the study. The next section provides justification why the model of social programmes was selected as an analytical framework for this study.

### **3.4 JUSTIFICATION FOR CHOOSING THE MODEL OF SOCIAL PROGRAMMES AS AN ANALYTICAL FRAMEWORK FOR THIS STUDY**

Since this is an evaluation study, the social intervention programme (performance management system) is a unit of analysis. As explained in the introductory chapter, the purpose of this study is to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. A research or evaluation problem to be investigated is the difficulty of implementing the performance management system. Based on the unit of analysis, the purpose and the research problem of the study, the researcher found it appropriate to choose the model of social programmes as an analytical framework.

The model of social programmes was developed to evaluate implementation of social interventions programmes (Babbie and Mouton, 2001: 343, 369). According to these two authors, the model of social programmes is founded on eight main features or dimensions that characterise all social interventions

programmes. The eight main dimensions are: (1) clearly defined programme goals and objectives; (2) an intended target group (intended beneficiaries or programme recipients); (3) explicit measures of success (outcome measures); (4) programme components (the means to achieve the goals, that is, the resources or activities or inputs); (5) a programme management and implementation system (programme infrastructure); (6) a human resource base (those who drive the programme – programme managers and administrators); (7) programme stakeholders (the stakeholders that have a direct or indirect interest in the programme); and (8) programme context or setting in which the programme is implemented.

The model of social programmes was selected because of the following. Firstly, it provides a holistic and comprehensive frame of reference for understanding and evaluating the implementation of any social intervention programme, in this case, the performance management system (Babbie and Mouton, 2001: 366). The model of social programmes is well grounded in the literature as it provides robust theoretical and practical explanations why the implementation of social intervention programmes is problematic.

Secondly, the model of social programmes is a multi-dimensional analytical framework that provides eight dimensions that affect the successful implementation of any social intervention programme, including the performance management system. The eight dimensions assist to deepen understanding of the different aspects that might affect the implementation of any social intervention programme. The researcher found the performance management model proposed by Bento and White (2006: 53) to be limited as it includes only three elements of performance management, namely budgeting, performance evaluation and rewarding performance. The model proposed by Hacker and Washington (2004: 53) to measure large-scale organisational change was also

found to be limited as it covers only six dimensions that are adequately covered by the model of social programmes. The six dimensions are: (1) well defined result areas and goals; (2) well defined objectives; (3) well defined measurement processes; (4) well established reviews; (5) well defined responsibilities; and (6) evidence of continuous improvement.

Compared to the other models, the model of social programmes covers many dimensions of programme implementation which makes it comprehensive and thereby giving it more predictive, explanatory and analytical power. It adequately captures the multi-dimensional nature of the performance management system. Although other models have their limitations of focusing on few dimensions, they complement and enrich the model of social programmes. Third, the model of social programmes is an integrated analytical framework that can be combined with other theoretical models. Other theoretical models that have been blended with the model of social programmes include theories of programme implementation, organisation theories, employee motivation theories, and institutional theories. In a nutshell, the model of social programmes can be viewed as a synthesis of several analytical frameworks (Christensen and Gazley, 2008: 267).

Thus, the model of social programmes draws on the strengths of various theoretical models cutting across different disciplines. In this regard, Jick (1979: 602) contends that multiple perspectives enable greater accuracy and deepen understanding of the studied research problem which may result in the emergence of new dimensions or new explanations. The acquired new dimensions or explanations may result in the reformulation of old theories and development of new theories. In this respect, multiple perspectives contribute to theory building (Jick, 1979: 609).



Fourth, the eight main dimensions of the model of social programmes will guide data collection and analysis. These dimensions will be used as analytical categories in this study. These analytical categories will direct the study and ensure its coherence. This will also assist in the presentation of findings as well as structuring the study (Yin, 1981: 64). The availability of these analytical categories made it unnecessary for the researcher to construct his own analytical categories. Fifth, the model of social programmes provided definitions of some of the key concepts used in this study. Finally, the model of social programmes provides an explanatory or causal framework for the interpretation of study findings (Babbie and Mouton, 2001: 366).

As already indicated above, the eight dimensions will guide data collection and analysis and also serve as analytical categories. Thus, the next section discusses in more detail the eight dimensions of the model of social programmes.

### **3.5 EIGHT DIMENSIONS OF THE MODEL OF SOCIAL PROGRAMMES**

The eight main dimensions of the model of social programmes highlight issues that are critical to programme conceptualisation, design, implementation, monitoring and evaluation. These dimensions are interrelated and are only separated for analytical purposes.

#### **3.5.1 Dimension 1: Programme goals and objectives**

The first dimension is programme goals and objectives. Armstrong and Baron (1998: 155) defined an objective as a task to be accomplished by a given date or period. To successfully implement the performance management system, it is of paramount importance that objectives are clearly defined and understood (Hacker and Washington, 2004: 53). Clearly stated goals and objectives are

essential for both programme management and evaluation (Babbie and Mouton, 2001: 344). Clearly formulated objectives meet the SMART characteristics or checklist.

### **3.5.1.1 SMART checklist**

SMART is an acronym for:

- **Specific/Stretching:** the set goals and objectives should be clear (specific) and not too easy to achieve (stretching).
- **Measurable:** the set goals and objectives should be stated in quantifiable (measurable) terms.
- **Agreed:** the set goals and objectives and their targets should be agreed between the manager and the supervisee to ensure ownership and commitment.
- **Realistic/Relevant:** the set goals and objectives should not be too difficult to attain. They should have acceptable/achievable/attainable (realistic) targets that are appropriate (relevant) to the particular institution.
- **Time-related/Time-bound:** the set goals and objectives should have timescales or time frames (Bricker, 1992: 70; Armstrong and Baron, 1998: 233; de Waal, 2007: 78).

A review of the literature showed that the public service performance objectives frequently do not meet the SMART checklist. As argued by Boyne (2003: 215), the public service often has no formal objectives that are clearly stated in legislation and other relevant documents. In the public service, the formulation of programme objectives is a political process that involves negotiations and compromises of many values, ideals and interests among different stakeholders that attempt to influence the delivery of public services (Stainer and Stainer, 1998: 112; Boyne, 2003: 221; Hupe, 2011: 71). As a result, the public service

performance objectives are ambiguous than those of the private sector. Compared to the private sector, the public service has a much broader role of delivery of social services and its purpose is often unclear. The complexities and uniqueness of the public service make the modification and adaptation of performance management tools that have been developed for the private sector more difficult to apply in the public service (Davila, 2008: 46).

Consequently, objectives of the public service are often stated like political slogans (Babbie and Mouton, 2001: 365). The ambiguity of objectives of the public service ensures that no stakeholder group feels alienated and this is considered crucial to garner wide political support for a social intervention programme. Objectives that match the characteristics of political slogans are formulated vaguely such as "to improve the quality of life," "to help the poor to help themselves," "to empower the teachers," "to make schools more effective" and "to promote better health" (Babbie and Mouton, 2001: 343 – 344, 366). Vague objectives often do not state categorically who the main beneficiary of the social programme is; how service improvement will be measured and who will measure the service improvement? (Boyne, 2003: 215). Hupe (2011: 71) argues that ambiguous objectives lead to variations in implementation and evaluation because of multiple interpretations.

As already noted in Chapter Two (see *supra* 2.10) which discussed the general problems encountered in the implementation of the performance management system, the performance management system is not easy to conceptualise and design. Institutional, departmental and individual objectives are seldom linked to vision, mission and strategic plans. The vision, mission and strategic objectives are rarely clearly stated and understood. Consequently, institutions encounter difficulties when developing appropriate critical success factors, key performance indicators, and departmental, team and individual performance objectives and

targets (Bourne, Neely, Platts and Mills, 2002: 1289; Bourne, Neely, Mills and Platts, 2003: 18; Verweire and Van den Berghe, 2003: 787; de Waal, 2004: 303; Dull, 2008: 261; de Waal and Counet, 2009: 370).

The public service often has a multiplicity of overlapping and conflicting performance objectives which cannot be easily accommodated and reconciled (Talbot, 1999: 21; Boyne, 2003: 215; Clark and Swain, 2005: 458; Johnston, 2005: 596; Mothusi, 2007: 15; Davila, 2008: 47; Jaaskelainen, 2009: 447). The stated formal institutional objectives in strategic plans and policy statements may differ markedly from operational objectives that are being pursued. Boyne (2003: 215 - 216) further argues that even if public service objectives were clearly stated, universally agreed upon, and strategic and operational objectives identical; there will still be a problem of attribution. As an example, he argues that if the population becomes healthier over time, this improvement cannot only be attributed to better public services. The formulation of performance objectives is affected by weak strategic planning.

### **3.5.1.2 Strategic planning**

Strategic planning is defined as “a disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation is, what it does, and why it does it” (Bryson, 1995: xii cited in Hildebrand and McDavid, 2011: 46). Performance or strategic planning is critical for the development of performance and development plans, annual performance plans, strategic plans, and performance objectives. However, the literature showed that strategic planning was often weak in the public service (Stainer and Stainer, 1998: 111; Kaplan, 2001: 358; Wisniewski and Olafsson, 2004: 607).

Institutions often do not devote considerable time and effort for strategy formulation and implementation which results in the strategic objectives being activity based or focused on programmes and initiatives that are being implemented rather than on desired outputs and outcomes (Kaplan, 2001: 358; Wisniewski and Olafsson, 2004: 607). Strategic objectives for the public service tend to be too many which affects institutional effectiveness (Kaplan, 2001: 359). Public service strategic and operational objectives are often not customer driven (Stainer and Stainer, 1998: 111).

Individual performance objectives developed turn to be of low quality and misaligned to the strategy (Wisniewski and Olafsson, 2004: 607). Strategic plans are often a wish list of those who participated in strategy formulation (Kaplan, 2001: 358). Strategy planning is often constrained by knowledge gaps of what customers really want, in systems, processes and in performance information (Wisniewski and Olafsson, 2004: 608).

More specifically to the Botswana public service, studies showed that performance or strategic planning was weak at the initial stages of the implementation of the performance management system and this adversely affected the formulation of strategic plans, annual performance plans, performance agreements, performance and development plans, and performance objectives. Due to these weaknesses, performance objectives that were formulated were often ill-defined and hence did not meet the SMART checklist (Nyamunga, 2006: 18; Mothusi, 2008: 175; Lekorwe and Mothusi, 2011: 80).

Furthermore, the strategic enablers of the performance management system such as the national development plans, strategic plans, vision, mission and value statements, and annual performance plans were weak because of poor formulation and execution. Moreover, operational enablers such as human,

financial and material resources were misused because of misalignment of national development plans' strategic objectives and government ministries and independent departments' strategic plans, and departmental and individual objectives. Finally, the requirement that government ministries and independent departments have strategic plans, annual performance plans, vision, mission and value statements, and conduct regular performance reviews has inculcated a culture of performance planning, measurement and monitoring, consultation, teamwork, customer focus, transparency, accountability and responsibility (Nyamunga, 2006: 18; Mothusi, 2008: 175; Lekorwe and Mothusi, 2011: 80).

### **3.5.2 Dimension 2: Target group**

The second dimension of the model of social programmes is the target group or intended beneficiaries of the social intervention programme. In the public service, the target group for the performance management system are public servants. A social intervention programme is introduced to address the needs of a specific target group. For example, the performance management system is often introduced to address the problem of poor performance in the public service. Babbie and Mouton (2001: 343) argue that the introduction of a new social intervention programme should be based on evidence (produced through needs assessment studies, observations or reports) that the current level of performance is unacceptable and requires some form of intervention to improve the situation.

#### **3.5.2.1 Target group of the performance management system**

The target group for the earlier versions of the performance management system were managers. Nowadays, the performance management system covers all categories of staff: professional, technical, administrative (clerical), and

support (operational) (Armstrong and Baron, 1998: 362). To ensure acceptance and ownership of the performance management system by the target group, it is important that managers and individual employees should be involved in its design and implementation. It is also important that prior to implementing the performance management system managers and individual employees should be provided with written and oral briefings and training on performance management.

### **3.5.2.2 Approaches to the design and implementation of the performance management system**

There are two main approaches to the design and implementation of the performance management system, namely cascading or top-down approach and participatory or bottom-up approach (Armstrong and Baron, 1998: 118; Greiling, 2005: 565). The preferred and recommended method of introducing the performance management system in any institution is to establish a project team or working group with representation from both management and staff members to oversee the design and implementation of the programme. The bottom-up approach is preferred because it takes into consideration the views and experiences of both management and staff members, promotes wider consultation, involvement and communication, and thereby engenders buy-in and ownership from both management and staff (Antonioni, 1994: 30; Armstrong and Baron, 1998: 361).

The bottom-up approach also allows for the setting of realistic performance targets and increases perceived fairness and justice in the performance management process. It promotes increased employee motivation, commitment and satisfaction with the performance management system (Bento and White, 2006: 60). Moreover, the bottom-up approach allows staff members and

departments to drive performance measurement and performance management processes. Performance management systems that are designed and implemented using the bottom-up approach are more likely to produce performance information that is useful for both external reporting and internal management needs (Hildebrand and McDavid, 2011: 69).

However, the bottom-up approach is not widely used by institutions because it is time-consuming and at variance with the technocratic decision making approaches (Pollitt, 1986: 168; Armstrong and Baron, 1998: 368; Moynihan and Pandey, 2010: 856). According to Ribbhagen (2011: 26), once the right solution to a social problem has been given by the experts, technocrats find it unnecessary to seek the opinions of ordinary people who lack technical or expert knowledge. Another reason why the bottom-up approach is not preferred is that it makes the consolidation of different strategies of departments into one overall strategy of the institution difficult. Due to the problems of consolidation, there may be inconsistencies in the implementation of the overall strategy of the institution (Blunt and Jones, 1992: 50).

Consequently, most performance management systems are designed and implemented using a top-down approach (Ohemeng, 2009b: 4; Ohemeng, 2010b: 127). Cascading or top-down approach excludes middle and junior management from the design of the performance management system. The design of the performance management system is often entrusted to senior management which later rolls it out to other lower levels of staff (Armstrong and Baron, 1998: 118; Greiling, 2005: 565). When the top-down approach is used, the performance management system philosophy, principles, key guidelines, procedures and processes are developed at the centre (Armstrong and Baron, 1998: 361).



Cascading has some inherent weaknesses related to rejection of objectives formulated upwards and later transposed downwards (Armstrong and Baron, 1998: 361). Cascading also violates one of the key performance management philosophies that performance objectives should be jointly discussed and agreed between the manager and the supervisee, and not imposed on supervisees by managers (Armstrong, 2006: 56). The use of a top-down approach in the design and implementation of the performance management system often makes managers and supervisees to view the programme as an imposition because of lack of consultation and participation.

Before introducing the performance management system, it is necessary that managers and supervisees be provided with written and oral briefings on performance management.

#### **3.5.2.3 Written and oral briefings on the performance management system**

Ideally, the institution should prepare briefing papers on the performance management system for all its employees before introducing the programme. The briefing papers should be written in simple and clear language. They should, among other things, explain the reasons why the institution is introducing the performance management system; its objectives; method of application; processes and skills involved; the contributions that managers and supervisees have to make and the benefits of the programme to the institution, managers and individual employees (Armstrong and Baron, 1998: 364).

The same authors recommend that briefing papers be supplemented with face-to-face oral briefings which can be made by line managers in big and/or dispersed institutions. In cases where line managers make the oral briefings,

Armstrong and Baron recommend that they should be provided with special briefing packs with frequently asked questions and answers. The special briefing packs serve as reference guide for managers (Armstrong and Baron, 1998: 364).

The literature review showed that written and oral briefings on performance management often fail to address the fears, suspicions, mistrust and cynicism associated with the performance management system. As already noted in Chapter Two (see *supra* 2.10), managers and supervisees often perceive the implementation of the programme as lacking procedural fairness; as a compliance and bureaucratic burden; and as another method of management surveillance and control that would not work (Winstanley and Stuart-Smith, 1996: 68 – 69; Armstrong and Baron, 1998: 373; Moynihan, 2005: 236; Ohemeng, 2009b: 21; Prowse and Prowse, 2009: 72).

The literature further showed that managers and supervisees often do not see the benefits of the performance management system. The documentation (paperwork and form-filling) and reporting requirements of the programme often place a bureaucratic burden on managers and supervisees (Armstrong and Baron, 1998: 124; Massey, 1999: 9; Greiling, 2005: 566; Schacter, 2006: 3). The performance management system is often perceived by managers and supervisees as an external accountability mechanism that is imposed upon them without any institutional added-value (Massey, 1999: 2; Cederblom and Pemerl, 2002: 131).

Some authors such as I.D. Clark and H. Swain (2005: 456) regard the performance management system as a utopian management framework that is surreal and unhelpful to the public service. Similarly, a study by the Chartered Institute of Personnel and Development (2009: online) found that only 20% of respondents agreed that performance management has a positive effect on

individual performance, while the majority (59%) was neutral and 21% disagreed.

The written and oral briefings should be reinforced by performance management training. To implement the programme effectively, the employer should train employees on performance management.

#### **3.5.2.4 Performance management training**

Managers and supervisees as the main beneficiaries and implementers of the performance management system should be trained to develop their performance management knowledge, skills and capabilities and to have an in-depth understanding of the performance management system's philosophy and how the programme works. This requires that the institution provides performance management training before the implementation of the programme. Performance management training should be provided close to the date of implementation to avoid forgetting what has been learnt (Allan, 2014: online).

Performance management training should be extended to senior management, appraisers and appraisees (Ford, 2004: 557). Senior management should be trained as it has the main responsibility to design, implement, monitor, administer and sustain the programme (Glendinning, 2002: 164). Senior management should also be trained on how to use performance appraisal devices and to get its support for the use of performance appraisals throughout the institution (Ford, 2004: 555). The support of senior management is critical to the successful implementation of the performance management system (Glendinning, 2002: 165).

Appraisers as the end users of the performance management system should be well trained to have the necessary conceptual and technical skills to utilise and manage the performance appraisal system (Glendinning, 2002: 164; Levy, 2003: 562; Ford, 2004: 550; Brown, 2005: 473; Bento and White, 2006: 52; Verheijen and Dobrolyubova, 2007: 211; Fryer, Antony and Ogden, 2009: 482). According to Glassman, Glassman, Champagne and Zugelder (2011: 235), appraisers should be trained on performance appraisal techniques and on the key characteristics of the job being appraised.

It is also important that appraisers should be trained to understand the requirements of the performance management system, performance measurement and reporting and to know what to do to achieve those requirements; to prepare and conduct effective and timely two-way, interactive performance appraisal interviews; and to write clear, coherent and convincing performance appraisals (Ford, 2004: 558 – 559). Moreover, appraisers need to have the skills to collect, analyse and interpret performance data; to observe and record employees' behaviour; to develop appropriate performance measures and to identify key reporting performance measures (Fryer, Antony and Ogden, 2009: 488; Hildebrand and McDavid, 2011: 62; Allan, 2014: online).

Appraisees (staff members) should be trained to be comfortable to actively participate in the performance appraisal process; to set performance objectives and standards; how to measure and document performance accomplishments; how to communicate all aspects of performance; how to adequately prepare for performance appraisal interviews and how to give constructive co-worker feedback (Boice and Kleiner, 1997: 198; Ford, 2004: 558). Ford (2004: 559) stresses that the training provided to senior management, appraisers and appraisees should embrace learners as mature adults and be learner-centred, interactive and engaging. The training provided should use effective methods of

delivery such as role playing, films and videotapes of model appraisal interviews, and group discussions rather than lectures. Periodic retraining is required to reinforce what was previously learned; to sharpen skills and to maintain the interest and commitment to performance management (Allan, 2014: online).

It is considered critical that performance management training be provided in the following areas: performance planning; coaching, mentoring and counselling skills; performance review; and relationship of the performance management system with other human resource management systems. Performance planning workshops or seminars should be organised to train staff members on performance management as well as tracking performance and personal development throughout the year (Armstrong and Baron, 1998: 372).

Coaching workshops or seminars should be conducted to train managers to understand the principles of coaching and relate them to the institutional environment. Performance review workshops or seminars should be held to train managers on how to conduct performance appraisals or reviews. Refresher courses are also needed to refresh and reinforce the training previously provided on coaching and providing performance feedback. Managers and supervisees should understand the relationship between the performance management system and other systems such as the recognition and reward systems (performance based reward systems) (Armstrong and Baron, 1998: 371 - 372).

According to Armstrong and Baron (1998: 374), in most cases when the performance management system is implemented, the following performance management skills are either not yet developed or have not been tested in practice: (1) skills to set or formulate performance objectives; (2) skills to define accountabilities and key result areas; (3) skills to provide, receive, respond and act on constructive performance feedback; (4) skills to identify and apply

performance measures; (5) skills to identify and assess staff competencies and behavioural requirements; (6) skills to identify training and development needs; (7) skills to prepare and implement performance and development plans; (8) skills to appraise or assess performance; (9) skills to prepare for a performance review; (10) skills to monitor performance; (11) skills to conduct effective performance reviews; (12) skills to question and listen during the performance reviews; (13) skills to diagnose and solve performance problems; (14) skills to mentor, coach and counsel; and (15) skills to give effective leadership, support and guidance.

Staff training and development in performance management skills is often neglected during the implementation of the programme. As observed by Armstrong and Baron (1998: 337), mentoring, coaching and counselling are neglected aspects of performance management. This viewpoint is supported by Bento and White (2006: 52) who argue that managers responsible for designing and implementing the performance management system are often provided with limited direction and guidance. As noted above and in Chapter Two (see *supra* 2.10), the performance management system is often implemented without adequate information and consultation and the requisite technical and conceptual knowledge, skills, experience, training and education.

### **3.5.3 Dimension 3: Explicit outcome measures**

The third dimension of the model of social programmes is explicit measures of success or outcome measures. This dimension emphasises that programme goals and objectives should be operationalised into measurable outcomes, that is, stated in quantifiable or measurable terms (Babbie and Mouton, 2001: 344). Measurable outcomes can assist programme managers and administrators to track the implementation of the social intervention programme. As observed by

Babbie and Mouton (2001: 366), if programme goals and objectives are not translated into measurable outcomes, they will remain empty rhetoric and their interpretation and implementation will be varied across different actors. This view is buttressed by Halachmi (2005: 510) who argues that measurable outcomes can establish whether grand visions are realistic or not.

The successful implementation of the performance management system requires well-defined performance measurement systems. The performance measurement system selected for use by the institution should be appropriate.

#### **3.5.3.1 Performance measurement systems**

Well-defined performance measurement systems are critical to the successful implementation of the performance management system (Hacker and Washington, 2004: 54). However, there are many factors that constrain the successful design and operationalisation of performance measurement systems in the public service. First, it is often difficult to develop relevant and appropriate performance measures for the public service, especially with regard to intangible assets, perceptions, taste, human and intellectual capital (Davila, 2008: 48). Second, it is not always easy for the public service to introduce performance measures that are related to the institutional strategy, mission and objectives and linked to performance-based reward systems (Kaplan, 2001: 356; Chan, 2004: 212; Bento and White, 2006: 52). Third, performance measures are generally subjective and value-laden, hence performance measurement systems cannot be objective and impartial as they reflect the views of managers as to what is appropriate and useful in the institution (Clark and Swain, 2005: 459; Hildebrand and McDavid, 2011: 52).

Performance measures fall into two categories: financial and non-financial. Financial performance measures are measured in monetary terms such as costs, revenues and profits. Financial performance measures when used on their own are inadequate for measuring and managing institutional performance. They are considered inadequate because they measure past performance and report little about long-term value creation (Kaplan, 2001: 354). Non-financial performance measures are expressed in operating terms such as market share and percentage of on-time deliveries (Bento and White, 2006: 56 – 57).

There are a number of performance measurement systems that have been developed to measure institutional performance. These are listed below.

#### **3.5.3.2 Types of performance measurement systems**

According to Talbot (1999: 20), there are four categories of performance measurement systems that were developed to measure institutional performance in the private sector. First, there are sophisticated financial models such as economic value added and shareholder value. Second, there are comparative and benchmarking models that compare, analyse and search for benchmarks of good performance and practice in a range of internal institutional functions and processes in other similar institutions with the primary aim of improving their own performance in these areas. An example of a benchmarking model is the European Foundation for Quality Management Excellence Model, formerly known as the Business Excellence Model. Third, there are quality models such as total quality management. Finally, there are holistic models such as the balanced scorecard and the public service excellence model that use both financial and non-financial performance measures to measure institutional performance.



Talbot (1999:20) contends that the above-mentioned performance measurement systems are either irrelevant or inadequate to measure performance in the public service. Out of these, the balanced scorecard is the performance measurement system that is widely used by the public service (Talbot, 1999: 26; Kaplan, 2001: 354; Chan, 2004: 204; Wisniewski and Olafsson, 2004: 603). Similarly, the Commonwealth Secretariat (2010: 5) observed that the balanced scorecard is the performance measurement system that is widely used by public services in Commonwealth Africa.

#### **3.5.3.2.1 Balanced scorecard**

The balanced scorecard is a holistic management model that was developed by R.S. Kaplan and D.P. Norton in 1990 as an integral part of strategy formulation, mission identification, customer-based planning, and process improvement and to align performance measures with the strategy (Kaplan, 2001: 354; Niven, 2003: x; Chan, 2004: 205; Jaaskelainen, 2009: 450). It integrates a number of management innovations such as total quality management; just-in-time management; time-based competition; lean production; customer and market focus; activity-based costing; employee empowerment and process re-engineering (Talbot, 1999: 21).

First, the balanced scorecard was developed to complement financial performance measures with three other non-financial perspectives, namely customer; internal processes; and learning and growth or innovation and improvement (Kaplan and Norton, 1992: 71; Talbot, 1999: 21; Kaplan, 2001: 354; Chan, 2004: 206). The balanced scorecard was developed to allow managers to view institutional performance from four different perspectives, not just from the financial perspective, as it was the case previously. The three non-financial perspectives are regarded as the drivers of future financial performance.

Second, the balanced scorecard was introduced to assist institutions to develop specific performance measures for each of the four perspectives (Kaplan and Norton, 1992: 71 - 73).

Third, the balanced scorecard was developed to close the gap between vague mission and strategy statements and operational activities and measures; and to achieve strategic focus by shifting the institution's focus away from individual programmes and initiatives to desired performance outputs and outcomes (Kaplan, 2001: 369; Wisniewski and Olafsson, 2004: 603). Fourth, it was developed to put strategy and vision at the forefront of performance measurement and to translate strategy into specific measurable objectives (Kaplan and Norton, 1992: 78). Fifth, the balanced scorecard was developed to align initiatives and work of individuals and departments with the strategy so that significant performance improvements can be made (Kaplan, 2001: 369). Finally, it was introduced to make institutions more customer focused, to improve quality and response time, promote teamwork, and to emphasise the importance of managing for the long term (Kaplan and Norton, 1992: 73).

The balanced scorecard is not easily transferable to the public service as it was originally designed for private sector institutions (Kaplan, 2001: 354; Chan, 2004: 204; Wisniewski and Olafsson, 2004: 603). Below are some of the general problems encountered by the public service when implementing the balanced scorecard.

**(a) General problems encountered by the public service when implementing the balanced scorecard**

The literature identifies the following as the general problems encountered by the public service when implementing the balanced scorecard. First, although the

balanced scorecard was introduced in 1990 for use in the private sector, it is still a relatively new management tool for the public service in developing countries (Boyne, 2003: 220; Niven, 2003: x; Chan, 2004: 216; Wisniewski and Olafsson, 2004: 610; Greiling, 2005: 560; de Waal, 2007: 70). It was only adapted for use by the public sector in 1996 at Harvard Business School (Kaplan, 2001: 357). Second, it is difficult to implement in the public service because of the public service's unique characteristics such as providing a diversity of complex public services (Hodgkinson, 1999: 471; Wisniewski and Olafsson, 2004: 603; Greiling, 2005: 565; Jaaskelainen, 2009: 447).

Third, the four perspectives of the balanced scorecard are not easily applicable to the public service. For instance, in terms of the customer perspective, the customer is difficult to identify and define in the public service because of multiplicity of customers or stakeholders (Talbot, 1999: 27; Wisniewski and Olafsson, 2004: 605; Cheung, 2005: 317; Greiling, 2005: 565). According to Stainer and Stainer (1998: 116), the multiplicity of customers or stakeholders in the public service creates conflicting demands on public service managers. It often compels public service managers to develop a multitude of performance measures to meet the requirements of various customers or stakeholders thereby making the performance measurement system complex and laborious to use (Wisniewski and Stewart, 2004: 224; Jaaskelainen, 2009: 450). As a result, it is always a daunting task for the public service to satisfy all the customers or stakeholders' expectations and needs. Multiple customers or stakeholders use different criteria to assess the performance of the public service (Boyne, 2003: 220).

The real customer is difficult to define in the public service because it does not just include the actual service recipient, but also those who are entitled to the service but have not done so (potential customers), the taxpayers and the

general public who have interests in the way public services are provided and how their money is used (Talbot, 1999: 24; Phelps, 2009: 45). Consequently, the public service has many service users and key stakeholders such as staff members, managers, service providers, customers (the general public), taxpayers, political leaders (members of Cabinet and Parliament), trade unions, inspection and audit agencies (Talbot, 1999: 18; Wisniewski and Olafsson, 2004: 605; Halachmi, 2005: 512).

In addition, most public services are monopolies; hence customers have no alternative service providers where they can buy the service, unlike in the private sector (Talbot, 1999: 23; Wisniewski and Olafsson, 2004: 605). The lack of direct and comparable competitors to the public service makes it difficult to score the performance, quality and cost-effectiveness of public services (Talbot, 1999: 24). For example, people who use private healthcare do not share similar characteristics (income levels) as those who use public clinics and hospitals (Simpson, 2009: 255). As a result, customer satisfaction measures in the public service do not provide relevant performance information as they do in the private sector (Wisniewski and Olafsson, 2004: 605).

Regarding the financial perspective, most public services do not have financial or business results in the literal sense of the private sector. In the public service, financial results are only limited to reporting on the use of budgets allocated for inputs or compliance with input appropriations (Talbot, 1999: 23). Line item budgetary allocations are not linked with performance objectives and outcomes but with the purpose of expenditure (Pollitt, 2001: 18; Mutahaba and Ally, 2008: 7). Even in instances where accruals or resource based accounting and budgeting are used, the emphasis is mainly on expenditure, and not income or profits, as is the case with the private sector (Talbot, 1999: 23). Greiling (2005: 565) argues that the current cost accounting systems are not yet multi-

dimensional performance measurement systems as they do not capture all the important dimensions of performance. Moreover, the literature showed that performance results in the public service have limited influence in public budgeting (Hildebrand and McDavid, 2011: 47).

Fourth, the four perspectives of the balanced scorecard conflict with each other in practice. For example, economical use of resources conflict with adequate staff remuneration and quality of products or services with cost of production or operational efficiency (Talbot, 1999: 22). Fifth, it is often difficult to develop precise performance measures of institutional effectiveness such as quality, innovation and creativity, efficiency and effectiveness (Armstrong and Baron, 1998: 103; Kaplan, 2001: 354). For instance, the concept of quality is difficult to measure as it covers both processes and products as well as tangible and intangible factors (Wisniewski and Olafsson, 2004: 606; Tangen, 2005: 40).

In practice, the concepts effectiveness and efficiency are often confused and used interchangeably. Effectiveness is defined as “doing the right things” or the achievement of desired targets or results while efficiency means “doing things right” which is concerned with how well the resources of the transformation process are used. Efficiency is easier to measure because it can be quantified in terms of time, money or output scale (Tangen, 2005: 41). Effectiveness, on the other hand, is difficult to quantify as it often connected to the creation of value for the customer. There is also no agreement in the literature on what the intended or expected results of institutions are or should be (Boyne, 2003: 212).

Sixth, the other difficulty is that public services are normally not provided by a single institution but several institutions (Boyne, 2003: 214). For instance, improving road safety is a common objective for various institutions dealing with road maintenance and construction; traffic law enforcement and public

education; and providing accident and emergency care. If, at the end, road safety improves it becomes difficult to credit one institution for the improvement (Wisniewski and Olafsson, 2004: 606).

Co-ordination is an age-old problem in the public service because of the involvement of several institutions in the delivery of public services (Stainer and Stainer, 1998: 117; Boyne, 2003: 214). Co-ordination problems also arise from managing many public service employees (Davila, 2008: 45). In addition, co-ordination problems arise from departmentalism or specialisation of government functions and responsibilities which causes turf wars or jurisdictional disputes (Blunt and Jones, 1992: 9). The involvement of several institutions and individuals in the delivery of public services often results in role conflict and role ambiguity, and ultimately performance conflict and dysfunction (Blunt and Jones, 1992: 237; Johnston, 2005: 608; Davila, 2008: 50). Seventh, the four perspectives of the balanced scorecard do not cover elements of institutional performance such as probity, fairness, equity, equality, and openness that are important to public services (Talbot, 1999: 22).

Eighth, it is difficult to develop measures for activities, outputs and outcomes for the public service. Simpson (2009: 254) argues that although process measures for education services and healthcare can be developed such as the number of lessons provided and number of certificates obtained in case of education; and number of consultations and number of patients successfully treated in case of healthcare; such measures are inadequate as they do not capture all the various dimensions of output such as the quality of service provision and quality change.

There is also the problem of attribution as the improvement cannot be wholly attributed to the work of the service provider excluding the customer's effort. For example, the student's ability and commitment will affect the examination results

(Simpson, 2009: 260). Simpson further argues that it is difficult to compare public services without taking into account the characteristics of the individuals receiving the service. As an example, she notes that it would be unfair to compare examination results from two schools where students had differences in literacy and numeracy skills without making some quality adjustments.

As the examples above indicate, developing performance measures of outputs and outcomes is difficult in the public service because public services cannot be easily measured quantitatively and qualitatively. In short, public services are intangible; hence they cannot be easily measured (McLaughlin and Coffey, 1990: 46; Stainer and Stainer, 1998: 112; Boyne, 2003: 218; Jaaskelainen, 2009: 447). Intangibility of public services makes service quality harder to measure. Service quality is difficult to measure than product quality because in the former the customer is the sole judge of quality (McLaughlin and Coffey, 1990: 47; Jaaskelainen, 2009: 448).

To complicate matters, the public service cannot use profitability, percentage of sales or shareholder returns to measure performance. This is so because most of the public services have no market value or prices; are rarely priced; are provided for free; are fixed levies and are provided at highly subsidised prices which do not reflect competitive sales (Stainer and Stainer, 1998: 112; Hodgkinson, 1999: 472; Talbot, 1999: 23; Kaplan, 2001: 354; Jaaskelainen, 2009: 449). Furthermore, some public services such as street lighting, public safety and security (law enforcement, defence and crime prevention), and protection of the environment are consumed collectively (Simpson, 2009: 251).

Other public services such as primary education services are linked to secondary education services which make it difficult to separate the outputs between the two for measurement purposes (Simpson, 2009: 261). Performance measures of

outcomes such as improved quality of life and educated and healthy nation often take many years to achieve, which make them less relevant for annual evaluation of performance (Hacker and Washington, 2004: 53; Wisniewski and Olafsson, 2004: 606; Schacter, 2005: 5).

Ninth, Greiling (2005: 562) argues that when implementation, transaction and opportunity costs are taken into consideration, performance measurement systems are ineffective in the public service. Due to the multiple performance indicators found in the public service, considerable time, effort and resources are spent collecting, verifying, analysing and auditing the large amount of performance measurement data. When all these factors are taken into consideration, the benefits of performance measurement in the public service are outweighed by the implementation, transaction and opportunity costs. Considerable amounts of time, energies and resources are spent on performance measurement data rather than on improvements in public service delivery and resolving human resource management problems. In this connection, Greiling (2005: 565) recommends that the public service should focus on a few critical performance indicators instead of measuring for measurement's sake without taking measurement cost into consideration. The current sophisticated performance measurement systems make learning processes to be complex (Davila, 2008: 45).

Performance measurement systems are also predominantly inward-looking and used as an administrative-internal reporting system. In cases where performance measurement systems are used for external reporting, such as the United Kingdom, citizens are provided with many technical performance measures that are difficult to understand (Greiling, 2005: 564). Based on the foregoing arguments, it is often difficult for institutions to develop explicit performance



measures to evaluate individual and institutional performance in the public service.

#### **3.5.4 Dimension 4: Programme components**

The fourth dimension of the model of social programmes is programme components. Programme components refer to resources or inputs and activities required to successfully implement the social intervention programme. It includes human and financial resources; time; and efforts (Armstrong and Baron, 1998: 158; Babbie and Mouton, 2001: 344). According to the literature review, the performance management system is often difficult to implement because it requires considerable time, sustained efforts, determination, resources and effective leadership over extended periods (Armstrong and Baron, 1998: 357; Kaplan, 1998: 111; Bourne, Neely, Platts and Mills, 2002: 1289; Hacker and Washington, 2004: 57; de Waal and Counet, 2009: 368; Fatile and Adejuwon, 2010: 155). Considerable time is required to design, install, operate and institutionalise the performance management system (Lawler III, 1994: 17; Allan, 2014: online).

The literature review showed that limited time is one of the major constraints of the implementation of the performance management system (Jacobsen, 2005: 769; Pollitt, 2008: 68; Dussauge Laguna, 2011: 60). Empirical evidence from countries such as the United Kingdom and the United States of America demonstrated that the implementation of the performance management system is often radical and rapid. Political leaders often pressurise the public service to implement the programme rapidly to fit within their shorter term of office (Pollitt, 2008: 15). With limited time, public service institutions often cannot adequately design, install, operate and institutionalise the performance management system.

It often takes many years to reform public service institutions and to introduce a new culture (Fatile and Adejuwon, 2010: 153 - 154). It entails a protracted struggle in the political arena, the public service and society (Mothusi, 2007: 14). To change long-established and long-existing institutional policies, rules, procedures, regulations, processes, structures and systems that had been accepted as norm, custom and practice requires considerable amounts of time and expertise (Blunt and Jones, 1992: 215; Jacobsen, 2005: 771; Pollitt, 2008: 16). De Waal (2007: 74) contends that it takes time to establish a performance-driven institution. It also takes considerable time to change behaviours, values, habits and orientations of managers and employees because of professional socialisation (Etzioni, 1989: 557).

Professional socialisation refers to the process of inculcating or indoctrinating new employees with the philosophy, values and attitudes of the institution or its ways of doing things (Blunt and Jones, 1992: 57). Through professional socialisation, institutional values and attitudes are ritualised, preserved and retained without question (Blunt and Jones, 1992: 215). Professional socialisation and the conservative nature of institutional culture create institutional inertia to change (Blunt and Jones, 1992: 217; Jacobsen, 2005: 771). Consequently, the implementation of the performance management system often encounters strong staff resistance.

To overcome this, Hacker and Washington (2004: 52) recommended that institutions undertake moderate institutional change at least once per annum and large-scale change every four or five years. A gradualist approach is recommended because it allows for institutionalisation of the performance management system (Dzimbiri, 2008: 56). Institutionalisation or standardisation is critical to avoid backsliding or regression in the implementation process of the performance management system.

Institutionalisation refers to the process of documenting, training, monitoring and consistently using best practices that have improved institutional performance (Hacker and Washington, 2004: 55). Institutions can also use performance-based reward systems to institutionalise best practices (Dowling, Welch and Schuler, 1999: 283). The best practices are standardised or institutionalised in order to sustain and even surpass the current performance improvements. Hacker and Washington concluded that improvement is inseparable from standardisation, and that standardisation is inseparable from strategy implementation.

The performance management system is very costly to design and implement (Clark and Swain, 2005: 459; Schacter, 2006: 4). There are costs of developing the performance management system such as the time spent designing the programme, salaries and consultancy fees paid to personnel engaged in the design of the programme such as staff of the agencies or units established to co-ordinate and monitor the implementation of the programme, and management consultants. There are also costs of installation that include considerable investment in orientation and training in performance management system, salaries and consultancy fees paid to personnel engaged in the roll out of the programme such as system administrators and management consultants. Lastly, there are costs of operating the performance management system which include the time spent by the staff of the agencies or units established to co-ordinate and monitor the implementation of the programme, managers and employees processing and maintaining performance management records (Allan, 2014: online).

According to the performance management literature, the successful implementation of the performance management system in public services in developing countries is affected by acute shortages of resources, namely financial, human and physical (Randma-Liiv and Järvalt, 2011: 40). Most of the

African countries are poor and rely on bilateral and multilateral donor agencies to finance the implementation of the programme (African Development Report 2005: 225). Performance management systems in African public services are often inadequately funded. For example, a seminar on Enhancing Leadership and Policy Implementation Skills in the Southern African Development Community Public Sector cited inadequate financial and human resources as major constraints to the successful implementation of public service reforms in Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Tanzania and Zambia (Mothusi, 2007: 8). Similarly, the 2005 consultative workshop on public service reform in Eastern and Southern Africa held in Arusha, Tanzania found that the implementation of the performance management system was inadequately funded in Uganda and Zambia (Kiragu and Mutahaba, 2006: 7).

### **3.5.5 Dimension 5: Programme infrastructure**

The fifth dimension of the model of social programmes is the programme management and implementation system also known as programme infrastructure. The programme infrastructure encompasses programme management systems, administrative systems, monitoring systems and information systems that are needed to implement and manage the social intervention programme (Babbie and Mouton, 2001: 344). It is critical for the administration, implementation, monitoring, reporting, and evaluation of the social intervention programme. Pilot studies, baseline data, implementation plans, programme monitoring and evaluation systems, performance appraisal systems and human resource management systems are considered critical for the successful implementation of the performance management system.

#### **3.5.5.1 Pilot studies**

It is essential that the performance management system be piloted first before it is implemented on a full-scale (Armstrong and Baron, 1998: 363). A piloting exercise allows the institution to identify and resolve implementation challenges and difficulties before institution-wide implementation (Armstrong and Baron, 1998: 370; Rana, 2011: 186). However, it is not possible to pilot-test the whole performance management system because the cycle normally runs up to twelve months. The following aspects of the performance management system can be piloted: developing performance objectives, performance agreements, and completion of performance agreements, and performance and development plans (Armstrong and Baron, 1998: 363).

A review of the literature showed that institutions seldom carry out compatibility or pilot/ readiness test before they embark on full-scale implementation of the performance management system (Kaplan, 1998: 111; de Lancer Julnes and Holzer, 2001: 703; Christensen and Laegreid, 2008: 17). In cases where pilot studies are done, they are often unrepresentative of the entire public service because they cover a limited number of government ministries and independent departments. For instance, Antwi, Analoui and Nana-Agyekum (2008: 261) concluded that the pilot study for the Ghana Civil Service Performance Improvement Programme was small.

#### **3.5.5.2 Baseline data**

It is also critical to gather baseline data before the implementation of the performance management system. The baseline data assist to demonstrate that observed changes were a result of the implementation of the new social intervention programme as it allows comparison between pre-test design and

post-test design (Babbie and Mouton, 2001: 348). In cases where the baseline data was not collected before the implementation of a new social intervention programme, it would be difficult to prove that changes were a result of the new programme and not other programmes.

### **3.5.5.3 Implementation plan**

It is important that the performance management system has an implementation plan. This requires a careful sequencing of implementation phases (Dussauge Laguna, 2011: 69). Armstrong and Baron (1998: 364) suggested that the performance management system implementation plan should cover, among other things, the following: (1) the date when the programme will be introduced to the institution, either on a full-scale or on a phased basis; (2) briefing plan outlining the dates when managers and staff members will get briefing (presentation) papers and oral briefings on performance management; (3) training programme to develop performance management skills for both managers and staff members; and (4) procedure for monitoring and evaluating the programme.

It is considered critical that the implementation plan be adhered to or otherwise the implementation will be patchy. However, the literature showed that the implementation of the programme was often hurried to fit within the shorter term of political office (Pollitt, 1986: 168; Jacobsen, 2005: 769; Pollitt, 2008: 15). Pollitt (2008: 168) and Dussauge Laguna (2011: 60) argue that implementation plans for the performance management systems are often based on overly ambitious timeframes underestimating the complexities of implementation. Implementation plans normally have a three-year timeframe and are often clouded by what Pollitt terms "overly optimistic bias."

#### **3.5.5.4 Programme monitoring and evaluation systems**

Programme monitoring and evaluation systems assist to keep track of how the social intervention programme is being implemented to determine whether implementation is according to plan, is reaching all the target group members, is delivering the intended programme outcomes and to identify weaknesses in design and implementation (Babbie and Mouton, 2001: 346; Allan, 2014: online). In instances where programme implementation is not according to plan, programme monitoring and evaluation could assist to take immediate corrective measures.

Performance monitoring is critical to the successful implementation of the performance management system. It ensures that inputs (financial, human and physical resources), outputs, and outcomes are constantly assessed to identify trends and changes in performance (Hildebrand and McDavid, 2011: 46). Performance monitoring is also used to assess staff, departmental and institutional performance; to report accomplishments; to ensure continuous performance improvement and to adapt the programme to new changes in institutional and external environments (Glendinning, 2002: 165; Hildebrand and McDavid, 2011: 58).

Performance monitoring and evaluation systems in African public services are still at infancy stage. Zimbabwe is the only country in Africa with a mature monitoring and evaluation system (Dassah and Uken, 2006: 705). A seminar on Enhancing Leadership and Policy Implementation Skills in the Southern African Development Community Public Sector concluded that performance monitoring and evaluation systems in African public services in Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Tanzania and Zambia were generally ineffective (Mothusi, 2007: 8).

There are several factors that account for the lack of effective monitoring and evaluation systems in African public services. First, Africa is a late adopter of monitoring and evaluation, the continent adopted it at its third wave (Dassah and Uken, 2006: 705). For example, a monitoring and evaluation system for the South African public service was adopted after 1994 (Dassah and Uken, 2006: 711). Second, monitoring and evaluation capacity in most African public services is very weak (Schacter, 2000: 18). For instance, African public services, including those of Ghana and South Africa lack skilled personnel with the expertise to undertake monitoring and evaluation activities (Schacter, 2000: 5; Dassah and Uken, 2006: 715).

There are limited training opportunities in monitoring and evaluation in African countries, including Ghana and South Africa. The capacity of most public service monitoring and evaluation departments is inadequate. For example, the South African Public Service Commission has a daunting task of evaluating the Presidency's Office and one hundred and thirty national and provincial departments with regard to service standards and the *Batho Pele* (People First) principles (Dassah and Uken, 2006: 715 - 716).

Third, there is lack of a deeply entrenched monitoring and evaluation culture in African public services as a result of lack of performance orientation and insufficient demand for performance monitoring and evaluation (Schacter, 2000: 5). Fourth, there is lack of information infrastructure for monitoring and evaluation (Dassah and Uken, 2006: 706). Fifth, performance monitoring and evaluation are costly in terms of both time and personal costs (loss of popularity) (Jacobsen, 2005: 775). Dassah and Uken (2006: 708) argue that evaluation in Africa is negatively perceived as a mechanism aimed at fault-finding, particularly exposing and criticising weaknesses, failures and mistakes in the execution of



government programmes rather than commending their strengths and successes.

Sixth, there is lack of learning from the successes and failures of evaluation of completed government programmes and the monitoring of the ongoing ones (Schacter, 2000: 17). Seventh, most African governments do not allocate funds for monitoring and evaluation of government programmes. Lastly, monitoring and evaluation findings and recommendations are rarely used for problem-solving and decision-making (Dassah and Uken, 2006: 708 - 709).

Performance monitoring often results in individuals and institutions that are being monitored manipulating the collection, analysis and reporting of performance data in order to present their performance in a positive light and to avoid acknowledging shortcomings and failures (Greiling, 2005: 565; Higgins, 2005: 452; Norris and Kushner, 2007: 9; Hildebrand and McDavid, 2011: 67). A study of over 1000 respondents representing central and local government institutions from Australia, Canada, the United Kingdom and the United States of America found that 68% of institutions had fabricated performance data (Commonwealth Secretariat, 2010: 64).

Hildebrand and McDavid (2011: 42 – 43) contend that the polarised political environment in which the public service operate militates against reporting performance shortcomings and publicly learning from mistakes and failures as public performance reporting is mainly used for informational and symbolic accountability purposes. The publication of negative performance results in the public service put the government at political risk and can result in adverse consequences for both managers and political leaders such as being sacked for incompetence (Hildebrand and McDavid, 2011: 67).

According to Fryer, Antony and Ogden (2009: 486), performance measurement and monitoring can create unintended and dysfunctional effects such as setting low performance targets and focusing only on their achievement; performance clustering around the target either through deliberate underperformance or manipulation of performance data; concentrating on meeting only measured performance targets at the expense of other functions that are not measured; and selectively choosing performance indicators and targets to influence the results or manipulating performance measures.

In recent years, African public services such as those of Ghana, Mali, South Africa, Tanzania and Uganda have introduced customer satisfaction surveys, clients' service charters, service delivery standards, expenditure tracking studies and complaints redress systems as a way of monitoring and evaluating the quality of public services (Wescott, 1999: 164; Schacter, 2000: 17; Kiragu, 2002: 10; Mutahaba and Kiragu, 2002: 63; African Development Report 2005: 131; Dassah and Uken, 2006: 714; Antwi, Analoui and Nana-Agyekum, 2008: 260). The literature showed that these measures were often inadequate. For example, the Service Delivery Standards and Client Services Units that were established for the Ghana Civil Service Performance Improvement Programme lacked the financial backing and logistical support to function optimally (Antwi, Analoui and Nana-Agyekum, 2008: 261).

There are also concerns however that customer satisfaction surveys lack construct validity. That is, the results of the customer satisfaction surveys may not truly reflect the actual level of satisfaction or actual quality of the service received. The accuracy of the level of satisfaction may be influenced by, among others: the nature of the service that the users are being requested to assess; the availability of information or knowledge to make an informed evaluation; emotional issues such as having received a successful planning application

service; and sympathy for the institution's mission and its perceived importance to society (Higgins, 2005: 451).

Hacker and Washington (2004: 54) suggest that institutions should undertake periodic performance reviews and evaluations. Periodic performance reviews will show whether employees are making progress towards planned performance objectives; whether processes or activities are achieving their desired outcomes; and allow follow-up action and new decisions to be taken. They enhance accountability and increase the chances of achieving the planned performance objectives as what gets measured is what gets done.

Furthermore, regular performance reviews provide managers and supervisees with data about their strengths and needs for development and these data may be used by the institution to provide positive feedback or reinforcement of good performance and to improve employee morale, motivation and performance (Mani, 2002: 141). Providing regular feedback on performance may promote acceptance of the performance appraisal system by appraisees because performance shortcomings are identified as they occur and appraisees are given the opportunity to rectify them. It assists to reduce the possibility of surprises and resentment at the time when overall performance ratings are given at the end of the annual performance review (Allan, 2014: online).

Above all, periodic reviews provide feedback that tests, validates and modifies the cause and effect relationships of the performance management system. Periodic evaluation of objectives and strategies ensures that they are linked to the vision, well defined and measurable. Regular evaluations of the performance measurement system and the performance management system ensure that these systems are meeting their intended objectives (Hacker and Washington, 2004: 54). However, due to time constraints, work pressures, deadlines and the

inherent fear of performance appraisals by both appraisers and appraisees, performance appraisals or reviews are erratic in most institutions (Bowman, 1999: 567; Bourne, Neely, Platts and Mills, 2002: 1296; Cederblom and Pernerl, 2002: 131; Glendinning, 2002: 173; de Waal and Counet, 2009: 368; Dussauge Laguna, 2011: 61; Allan, 2014: online). Consequently, employees are often not provided with immediate and regular performance feedback and follow-ups.

As argued earlier in Chapter Two (see *supra* 2.7.1 and 2.7.2) when discussing the integrated nature of the performance management system, the integral parts of the performance management system should be in place to ensure successful implementation of the programme. It was noted that effective performance appraisal systems and strong human resource management systems are prerequisites for any effective performance management system.

#### **3.5.5.5 Performance appraisal systems**

Studies show that most performance appraisal systems do not link employee objectives and performance to institutional strategy, plans, objectives and performance. The main reason for this is that most performance appraisals tend to focus on employee's past performance, and not linking this to the institution's strategy and objectives. As a result of this disconnect between the performance appraisal systems and institutional strategies and objectives, employees' efforts do not achieve the desired performance results. Institutions rarely review their institutional objectives and strategies with all employees (Cederblom and Pernerl, 2002: 132; Allan, 2014: online).

Performance appraisal systems are also rendered ineffective by their conflicting purposes. Most institutions use them for purposes of providing performance feedback and development as well as for determining pay and promotion. In

cases where the performance appraisal system is used for pay and promotion, performance appraisal discussions tend to focus almost exclusively on the overall performance rating neglecting the development and improvement purposes of the system (Lawler III, 1994: 17; Cederblom and Pernerl, 2002: 132; Allan, 2014: online).

#### **3.5.5.6 Human resource management systems**

Human resource management systems are concerned with human resource processes such as recruitment, selection, training, development, performance appraisal, recognition and reward, and succession planning (Bonder, Bouchard and Bellemare, 2011: 4). Effective human resource management systems are critical to the successful implementation of the performance management system because they promote greater job satisfaction and institutional commitment which are both necessary to create a competent and committed workforce. Additionally, they promote a professional and high-performing public service that has a lower staff turnover. Moreover, they promote public service values such as integrity, economy, efficiency, effectiveness, transparency, accountability, responsiveness, representativeness, political neutrality, respect, fairness, honesty, merit, equity, impartiality and professionalism (Huff, 2011: 21; Kernaghan, 2011: 2; Randma-Liiv and Järvalt, 2011: 35).

The promotion of public service values may curb political and bureaucratic patronage in staffing processes (Kernaghan, 2011: 5). Employees with a high level of public-service motivation or public-service ethic are more attracted and less likely to leave public service occupations and are predisposed to perform better than those with lower public-service motivation, and thus it is recommended that the former group should be recruited, selected and retained (Bright, 2011: 13). Public-service motivation is defined as “an individual’s

orientation to delivering service to people with the purpose of doing good for others and society” (Perry and Hondeghe, 2008: 6 cited in Kernaghan, 2011: 8).

According to Kernaghan (2011: 11), employees with a high level of public-service motivation are also recommended because they tend to demonstrate contentment or happiness for their jobs; pride for their institution; intention to remain with the institution; desire to perform at high levels; recommend positively their institution to others; and improve their institution’s performance. Employees with a high level of public-service motivation are likely to be motivated more by intrinsic rewards such as job satisfaction rather than extrinsic rewards such as salary and fringe benefits (Bright, 2011: 13; Kernaghan, 2011: 15). However, it is acknowledged in the literature that the concept of public-service motivation is difficult to identify, measure and implement (Kernaghan, 2011: 8). It was noted in Chapter Two that it is also difficult to link all human resource management systems with the performance management system.

In practice, institutions often lack effective performance appraisal systems and human resource management systems to support the successful implementation of the performance management system (Boice and Kleiner, 1997: 197; Ammons, 2002: 345; Rees and Porter, 2004: 29; Halachmi, 2005: 504; Bento and White, 2006: 52; Fryer, Antony and Ogden, 2009: 481; Maley, 2009: 1). The performance management system may fail because of inadequacies of its critical components such as performance appraisal, performance planning, feedback and coaching, and performance reviews (Development Dimensions International and the Society for Human Resource Management, 1994: 73; Armstrong and Baron, 1998: 337; Glassman, Glassman, Champagne and Zugelder, 2011: 234). As argued by Kiragu and Mutahaba (2006: 7) the implementation of the performance management system in African public services often fails because of

lack of an integrated approach. These two authors argue that the performance management system was implemented in bits and pieces in Uganda and Zambia.

Moreover, there is often lack of alignment of the performance management system with human resource management systems and other institutional systems. In most institutions, the performance management system is not integrated with rewards and recognition, accounting and budgeting, training and development, career development, coaching and mentoring, succession planning, quality management and institutional strategy and objectives (Pollitt, 2001: 18; Mutahaba and Ally, 2008: 7; Chartered Institute of Personnel and Development, 2009: online). In most institutions managers are not held accountable for the effective implementation of the performance management system (Development Dimensions International and the Society for Human Resource Management, 1994: 74).

The performance management system is intrinsically linked to other human resource management systems which makes it difficult to evaluate its individual impact and separate it from the other changes that occur at the same time (Armstrong and Baron, 1998: 125; Davila, 2008: 57; Glassman, Glassman, Champagne and Zugelder, 2011: 237). Human resource management systems in most African public services are generally not supportive of the implementation of the performance management system. Recognition and reward systems that are needed to recognise and reward good performance and to attract and retain competent staff are often inadequate. Salaries in African public services are generally too low and the salary structures are too compressed. Pay and promotion systems in African public services are often not linked to performance or merit, but to length of service or seniority. In most African public services automatic “in-grade” salary increases and across the board salary increases are

awarded to all staff regardless of individual performance (Schacter, 2000: 9; African Development Report 2005: 149 - 152).

The lack of performance-based reward systems in most African public services undermines the implementation of the performance management system (Beugré and Offodile, 2001: 544; Mani, 2002: 141; African Development Report 2005: 149 – 152). In other words, there are neither rewards for managers and employees who achieve outstanding performance results nor sanctions for those who underperform. As argued by Antonioni (1994: 36) and Dzimbiri (2008: 56), when managers and employees notice that their performance and behaviours are not recognised and rewarded, they lose momentum and enthusiasm to implement the performance management system.

One possible explanation why performance-based reward systems are not common in the public service is the difficulty of measuring individual performance accurately (Simpson, 2009: 270). Another explanation is that budgetary constraints and unwillingness to pay public servants competitive salaries make performance-based reward systems less favourable because of the need to judiciously use public funds (Glassman, Glassman, Champagne and Zugelder, 2011: 236; Huff, 2011: 25 - 26). Performance-based reward systems are often expensive and difficult to administer in the public service (Glassman, Glassman, Champagne and Zugelder, 2011: 233). As a result of inadequate human resource management systems, African public services often face problems of demoralised and unmotivated employees which affect individual and institutional performance (Blunt and Jones, 1992: 277; Owusu, 2006: 694).

In cases where the human resource management systems and other management systems are inadequate, the performance management system alone cannot improve performance (Armstrong and Baron, 1998: 113). For



example, the implementation of the Ghana Civil Service Performance Improvement Programme was constrained by issues of remuneration, decentralisation and financial management. Lack of budget, pay and reward reforms acted as a disincentive to employee motivation. Moreover, the Ghanaian experience showed that African public services seldom carry out organisational or structural reviews to understand and learn from the mistakes made during the design and implementation phases of the performance management system (Antwi, Analoui and Nana-Agyekum, 2008: 261).

The general consensus in the literature is that Africa has weak institutions and inadequate human resource management systems (Schacter, 2000: 6; African Development Report 2005: 214). In nutshell, there is lack of technical and managerial capacity in most institutions to implement the performance management system.

#### **3.5.6 Dimension 6: Human resource base**

The sixth dimension of the model of social programmes is the human resource base. This refers to the people who are responsible for implementing and managing the social intervention programme (Babbie and Mouton, 2001: 344). That is, the programme implementers and managers. It is important that the programme implementers and managers have the necessary experience, expertise and competencies to implement and manage the programme. In terms of the human resource base, the following are critical to the successful implementation of the performance management system: (1) performance management system facilitator or co-ordinator; (2) champions of the performance management system; (3) agencies or units co-ordinating the implementation of the performance management system; and (4) institutional capacity to implement the performance management system.

#### **3.5.6.1 Performance management system facilitator**

A highly competent performance management system facilitator/co-ordinator, team or unit should be appointed to own, coordinate, monitor and oversee the development, implementation and institutionalisation of the performance management system (Kaplan, 1998: 109; Bourne, Neely, Platts and Mills, 2002: 1296; Mayne, 2007: 95; Dull, 2008: 256; de Waal and Counet, 2009: 371). The performance management system facilitator/co-ordinator, team or unit should be held in high esteem and have the capacity to design, implement and manage the performance management system within the institution. In addition, the institution should have strong leadership and well-trained, skilled and highly motivated line managers, champions (change agents) and workforce committed to support the work and efforts of the performance management system facilitator/co-ordinator, team or unit (Schacter, 2000: 8; Mothusi, 2007: 11).

#### **3.5.6.2 Champions of the performance management system**

Most studies show that the implementation of the performance management system often lacks champions from the highest political and administrative levels. A seminar on Enhancing Leadership and Policy Implementation Skills in the Southern African Development Community identified lack of political support for new programmes as one of the main constraints of the implementation of public service reforms in Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Tanzania and Zambia (Mothusi, 2007: 8). Similarly, Antwi, Analoui and Nana-Agyekum (2008: 261) concluded that the support for the Ghana Civil Service Performance Improvement Programme by the highest political and administrative levels was cosmetic.

The literature identifies wholehearted high-level political leadership support and commitment from the President/Prime Minister and Cabinet Ministers as a critical success factor for the implementation of the performance management system. Similarly, wholehearted high-level administrative leadership support and commitment from the head of the public service and heads of government ministries and independent departments is also critical for the successful implementation of the programme. Lack of wholehearted high-level political and administrative leadership support and commitment often results in lapses in programme implementation (Schacter, 2000: 16; Owusu, 2006: 694; Antwi, Analoui and Nana-Agyekum, 2008: 262; Dzimbiri, 2008: 55). The full commitment of the international community is also considered necessary for the sustainable implementation of the programme, especially for poor African countries (Owusu, 2006: 702). Without wholehearted high-level political and administrative leadership support and commitment, even a well designed performance management system will fail.

#### **3.5.6.3 Agencies or units' co-ordinating the implementation of the performance management system**

In recent decades, countries have established agencies or units such as the United Kingdom Performance and Innovation Unit in the Cabinet Office; the Delivery Unit in the Prime Minister's Office; the Public Service Productivity Panel in the Treasury; and the Best Value Inspectorate in the Audit Commission to co-ordinate, inspect and audit the implementation of performance management reforms (Boyne, 2003: 212). In Ghana, the implementation of the civil service performance improvement programme was co-ordinated and monitored by the National Institutional Renewal Programme chaired by the Vice President of the country (Dassah and Uken, 2006: 711; Owusu, 2006: 695; Antwi, Analoui and Nana-Agyekum, 2008: 258).

In May 2005, Ghana created a new Ministry of Public Sector Reform with the responsibility to provide institutional support for all public sector reforms (Owusu, 2006: 696). Ghana also established a central technical back-stopping and monitoring body in the Office of the Head of Civil Service. In addition, ministries, departments and agencies established internal reform groups known as Capacity Development Teams (Antwi, Analoui and Nana-Agyekum, 2008: 260).

The agencies or units charged with the responsibility to co-ordinate public service reforms are mostly located in the Office of the President/Prime Minister and Cabinet as this office has stature and is the hub of both the political and administrative functions of the state (Dzimbiri, 2008: 55). The existence of many institutions co-ordinating the implementation of the performance management system often creates co-ordination problems and makes it difficult to hold any institution accountable for the implementation of the programme. In addition, there may be lack of effective inter-agency communication channels. The units or agencies charged with the responsibility of co-ordinating and monitoring the implementation of the performance management reforms often represent public service institutions and exclude other key stakeholders such as service users and consumer groups (Andrews, Comini and Vieira, 1999: 492; Cheung, 2005: 315; Dussauge Laguna, 2011: 64).

According to Cheung (2005: 315), countries often lack effective audit and inspection mechanisms to regularly inspect and audit performance information provided by public service institutions. The agencies or units charged with the responsibility to co-ordinate, monitor and manage the implementation of the performance management system often lack authority to enforce compliance (Firman, 2008: 280). Public service commissions may be reluctant to transfer some of their powers and responsibilities to these new agencies or units (Firman, 2008: 283). There may be lack of clarity of responsibilities and accountabilities

between the national civil service commissions and the agencies or units co-ordinating and managing the implementation of public service reforms (Mothusi, 2007: 9; Dzimbiri, 2008: 54).

#### **3.5.6.4 Institutional capacity to implement the performance management system**

Compared to the developed countries such as Australia, Canada, New Zealand, the United Kingdom and the United States of America, developing countries in Africa, Southeast Asia, Central and Eastern Europe and Latin America have limited experience and managerial skills and expertise to successfully implement the performance management system (Greiling, 2005: 565; de Waal, 2007: 71; Antwi, Analoui and Nana-Agyekum, 2008: 256; Randma-Liiv and Järvalt, 2011: 44). Implementation of the performance management system in African public services only began in the late 1990s and early 2000s. For example, the Ghana Civil Service Performance Improvement Programme was introduced in 1994 while Uganda introduced its results-oriented management programme in 1997 and Kenya introduced results based management in 2004 (Kiragu, 2002: 7 - 8; Mutahaba and Kiragu, 2002: 59; Kiragu and Mutahaba, 2006: 7; Owusu, 2006: 695; Antwi, Analoui and Nana-Agyekum, 2008: 254).

The successful implementation of the performance management system in developing countries is often constrained by poor management practices, inadequate human and institutional capacity and deficient administrative structures (Blunt and Jones, 1992: vii; Schacter, 2000: 8; African Development Report 2005: 138; de Waal, 2007: 72; Mothusi, 2007: 9; Mutahaba and Ally, 2008: 3). Most African public services often have no skilled and experienced managers to initiate and manage large-scale change (Blunt and Jones, 1992: 228; Mothusi, 2007: 18). Project management and financial management skills

are often lacking in many African public services (Mothusi, 2007: 18 – 19). In its simplest definition, capacity means an institution's ability to execute its mandate. In terms of the public service, institutional capacity is broadly defined as "government's ability to marshal, direct and control its financial, human, physical and information resources" (Ingraham, Joyce and Donahue, 2003: 15 cited in Christensen and Gazley, 2008: 266).

The implementation of the performance management system often covers many public service institutions beyond the capacity of the agencies or units charged with the responsibility of co-ordinating and managing public service reforms. For example, the Ghana Civil Service Performance Improvement Programme targeted one hundred and eighty ministries, departments and agencies (Antwi, Analoui and Nana-Agyekum, 2008: 261). African public services often rely on management consultants to assist in the design and implementation of the performance management system (Henderson and Hacker, 2002: 1; Hacker and Washington, 2004: 52; de Waal, 2007: 72; Dzimbiri, 2008: 48). Local private sector consultants in African countries often lack the capacity, expertise and experience to design and implement performance management systems (Antwi, Analoui and Nana-Agyekum, 2008: 261; Dzimbiri, 2008: 50).

There are concerns in the literature that management consultants often do not customise performance management systems to suit peculiarities of African countries and their cultural and historical contexts (Blunt and Jones, 1992: 1; African Development Report 2005: v; Pollitt, 2008: 8). Management consultants often take the Universalists' view that Western management techniques or practices are universal and transcend cultural and historical contexts. The Universalists' view is in sharp contrast to the Culturalists' view that argues that Western management techniques or practices should take into consideration country-specific contextual factors such as history, culture, politics, economy,

geography, sociology, ideology and values (Antwi, Analoui and Nana-Agyekum, 2008: 253 - 254; Firman, 2008: 281).

Most authors contend that management is culture-dependent or context-dependent (Beugré and Offodile, 2001: 535; Clark and Swain, 2005: 463; Owusu, 2006: 700; de Waal, 2007: 72; Pollitt, 2008: 13; Fatile and Adejuwon, 2010: 154). As a result of the Universalists' view adopted by management consultants, the design of the performance management system often does not take into account local circumstances, values and methods (Dowling, Welch and Schuler, 1999: 270). The design of the performance management system is frequently based on technocratic, blueprint or textbook solutions which are by and large formulaic and mechanistic in approach (Schacter, 2000: 7; Fatile and Adejuwon, 2010: 153).

For any form of intervention to be effective, Luke and Kerrigan (1987: xiv) argue that the training provided must be specific to the culture, sector, institution and programme. The methods of delivery for performance management training are largely based on the traditional classroom training sessions which are more abstract or theoretical and do not adequately address the training needs of institutions, managers and employees. The training is frequently skewed to teaching rather than learning, that is, management consultants imparting knowledge and skills to managers and employees (Kerrigan and Luke, 1987: 13; Blunt and Jones, 1992: 234). Experiential learning or learning by doing which is action-oriented and practical is rarely used (Kerrigan and Luke, 1987: 21; Blunt and Jones, 1992: 67). One-time training sessions are often ineffective because of backsliding.

In terms of human and institutional capacity, and commitment to public service reforms, African countries are categorised into four groups, namely advanced

reformers, committed reformers, hesitant reformers, and beginners or non-starters (African Development Report 2005: 142). Advanced reformers refer to a few African countries that did not experience one-party and military rule, and have maintained and nurtured inherited traditions of the public service such as meritocratic appointment and promotion and political neutrality of the public service (Wallis, 1989: 2; Sharma, 1998: 108; Johnston, 2000: 346; Olowu, 2001: 121). Another feature of the advanced reformers is that they have a strong professional public service and public service reforms such as the performance management system are a top priority of government, and these reforms are home-grown, nationally-driven and financed by these countries themselves. They are the early adopters of public service reforms in the continent. Examples of African countries falling in this category are Botswana, Mauritius, Namibia and South Africa (African Development Report 2005: 138; 142).

Committed reformers refer to a group of African countries that experienced a decline of public administration systems as a result of either one-party and military rule or structural adjustment programmes but were committed to revitalise their public service systems after the democratisation wave of the 1990s. In case of committed reformers, public service reforms such as the performance management system are implemented through external (donor) support or funding. Committed reformers worked with bilateral and multilateral donor agencies such as the Canadian International Development Agency, the Swedish International Development Agency, the United Kingdom's Department for International Development, the United States Agency for International Development, the United Nations Development Programme and the World Bank to finance, design and implement the performance management systems (Kiragu, 2002: 5; Mutahaba and Kiragu, 2002: 57; African Development Report 2005: 142; Owusu, 2006: 694; Antwi, Analoui and Nana-Agyekum, 2008: 258).



Institutional capacity was developed by developing staff skills through on-the-job and short-term training; improving management systems and structures; improving conditions of service by offering better incentives and pay; and the work environment (Kiragu, 2002: 5; Mutahaba and Kiragu, 2002: 57). Examples of African countries that fall into the category of committed reformers are Benin, Burkina Faso, Ethiopia, Ghana, Kenya, Mali, Malawi, Mauritania, Senegal, Rwanda, Tanzania, Uganda and Zambia (African Development Report 2005: 142).

Hesitant reformers refer to a group of African countries that have implemented public service reforms such as the performance management system but half-heartedly. The main features of hesitant reformers are lack of champions of reform at both political and administrative levels, and the abandonment of reform initiatives mid-way. African countries that are classified as hesitant reformers include Togo. Beginners or non-starters refer to African countries that are beginning or have not yet started their public service reforms because of prolonged civil wars (African Development Report 2005: 144 - 145). It includes countries that are emerging from civil wars or the so-called failed states. Examples of beginners or laggards of public service reforms are Burundi, Liberia and Sierra Leone. Somalia is an example of a non-starter because of its ongoing armed conflict.

### **3.5.7 Dimension 7: Programme stakeholders**

The seventh dimension of the model of social programmes is the programme stakeholders. It is essential that all the key programme stakeholders such as the funders or sponsors of the programme, top management, line managers, staff members, trade unions, and customers (the general public) are involved during the conceptualisation, design and implementation of the social intervention

programme (Armstrong and Baron, 1998: 379; Babbie and Mouton, 2001: 344). Greater stakeholder involvement is considered critical for strategy development and service planning as it assists to identify all key stakeholders and understand their needs, expectations and priorities (Wisniewski and Stewart, 2004: 223). However, in practice, few institutions undertake stakeholder analysis and assess stakeholder satisfaction (Wisniewski and Stewart, 2004: 231 – 232).

The participation or involvement of senior management, middle management and staff members in the design and implementation of the performance management system is considered critical for programme ownership, buy-in and commitment (Chan, 2004: 216; Hacker and Washington, 2004: 54; Owusu, 2006: 702; Mothusi, 2007: 17). As argued by Allan (2014: online), employee participation, whether managerial or non-managerial is crucial in promoting acceptance of change. Furthermore, employee participation assists to identify possible problems or weaknesses of the performance management system and solutions or suggestions for improvement.

Similarly, trade union participation is critical to the successful implementation of the performance management system (Bonder, Bouchard and Bellemare, 2011: 6). The general public has to be consulted because implementation of the performance management system in the public service involves public resources or funds (Phelps, 2009: 45). The general public as the main beneficiaries of public services should be involved to get their support, ideas and feedback about public service quality and to know their needs and priorities (Halachmi, 2005: 512). Public opinion has to be supportive of the implementation of the performance management system (African Development Report 2005: 220).

In cases where public opinion is not supportive and there is strong resistance against the implementation of the performance management system, the

programme may be abruptly abandoned (African Development Report 2005: 182). Public education is needed to create awareness, explain why the programme is introduced and enlist support for its implementation. However, the literature shows that the implementation of the performance management system often lacks an effective communication strategy to share information and canvass public support (Mothusi, 2007: 9; Dzimbiri, 2008: 56).

Political leaders who include members of Cabinet (President, Vice President and Cabinet ministers) and members of Parliament should be involved because they allocate resources for implementation of the programme. Parliamentary scrutiny enhances public accountability in the implementation of the performance management system (Mothusi, 2007: 17). The successful implementation of the performance management system requires a strong champion and commitment from the top echelons of the public service, government and society (African Development Report 2005: 181).

According to the literature, the views of other stakeholders are often not taken into account during the conceptualisation, design and implementation of the performance management system. The literature also shows that the interests of the key stakeholders are often in conflict and difficult to harmonise (Armstrong and Baron, 1998: 94; Jacobsen, 2005: 767). The multiplicity of stakeholders with different interests and priorities makes it difficult to agree on the performance measures and service standards that would best satisfy the preferences of all key stakeholders, in particular the measurement scales or weights to be used (Boyne, 2003: 221; Firman, 2008: 281; Jaaskelainen, 2009: 455).

Cheung (2005: 314) argues that service charters and performance measures and standards are in most cases formulated in a top-down approach by public service managers without any citizen involvement. He further points out that service

charters and performance measures and standards tend to serve service provider interest (management purpose) rather than customer or stakeholder interest as staff members often consider senior management's dissatisfaction as more important than stakeholder or public dissatisfaction. The performance measures formulated by managers are often technical in nature and specific to the department and/or institution which limit their usefulness to external stakeholders (Hildebrand and McDavid, 2011: 54).

Performance measures often do not reflect customers or stakeholders' needs and expectations as most outcome measures do not take into account the quality of service and quality improvements (Hodgkinson, 1999: 475). Johnston (2005: 609) argues that the current preoccupation with market-based models of public service delivery makes collectivist performance measurements and standards to be of secondary importance. To address these concerns, in recent decades, developed countries have introduced quality awards and mandatory quality assurance systems in the public service (Greiling, 2005: 556).

Generally, public servants would oppose the adoption and implementation of the performance management system because it is often an externally imposed management reform that increases political control and monitoring of the public service (Clark and Swain, 2005: 466; Jacobsen, 2005: 772). Public service reforms such as the performance management system that often regards large public services as problems rather than solutions are negatively perceived by public servants. Such reforms normally threaten the self-interest of public servants and trade unions that prefer large public services with better career advancement prospects (Blunt and Jones, 1992: 221).

Political leaders on the other hand, may use the public service reforms as political symbols and talk to claim credit for them (Jacobsen, 2005: 767; Pollitt,

2008: 146). For instance, Greiling (2005: 562) argues that political leaders are often interested in the publication of outcome measures that increases their chances of being re-elected or performance measures that support their symbolic policy. For example, visible and prestigious public projects such as the unveiling of hospitals, high speed rail links and new educational institutions (Pollitt, 2008: 102). On the whole, political leaders rarely use performance information and show interest in matters related to the performance of government ministries and independent departments (Clark and Swain, 2005: 471; Hildebrand and McDavid, 2011: 54).

Greiling (2005: 565) contends that line item budgeting system and an output and outcome-oriented performance reporting system are incompatible. This is so because output and outcome-oriented performance reporting is more likely to favour the interests of public service managers at the expense of political leaders by promoting the legitimacy of public institutions rather than bureaucracy-bashing. However, elite politicians (members of Cabinet) and senior public servants because of their job roles, long tenure and high levels of education may have a convergence of preferences regarding the implementation of the performance management system (Jacobsen, 2005: 775).

This is the case because public service reforms such as the performance management system are products of elites, and not popular agendas. They would prefer such reforms because they maximise their job content rather than output, rid them of routine and tedious work of service provision and leave them with tasks of leadership, development, strategy, monitoring, resources, management and control. The two may also have shared interests because they move between the central positions in the political and administrative spheres (Talbot, 1999: 22; Jacobsen, 2005: 774 - 775).

In terms of gender, men are more negative to reforms that are a threat to highly centralised hierarchical arrangements than women. Compared to older people, young people are more positive towards management-based reforms. People with the highest level of education are generally sceptical of any kind of reforms (Jacobsen, 2005: 791). For example, management consultants, government ministries and political leaders may have disagreements over the implementation of the performance management system. This may result in the implementation of the performance management system being blocked or sidetracked (African Development Report 2005: 133).

### **3.5.8 Dimension 8: Programme context**

The eighth and last dimension of the model of social programmes is the programme context. The implementation of the performance management system is affected by the country's context.

#### **3.5.8.1 Developing country context**

Generally, management scholars and practitioners, especially those from the Culturalists<sup>3</sup> school of thought argue that the context in many developing countries in particular Africa, Caribbean, Central and Eastern Europe, Commonwealth of Independent States, Latin America, and Southeast Asia is

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<sup>3</sup> The Culturalists school of thought is an alternative view to the Universalists school of thought. The Culturalists' view contend that management is contextual and culture-dependent or context-dependent and thus recommend that Western management techniques or practices such as the performance management system should take into consideration country-specific contextual factors such as history, culture, politics, economy, geography, sociology, ideology and values, type of public service institution and the nature of the social intervention programme (Beugré and Offodile, 2001: 535; Clark and Swain, 2005: 463; Gbadamosi, 2005: 1129; Owusu, 2006: 700; de Waal, 2007: 72; Antwi, Analoui and Nana-Agyekum, 2008: 253 - 254; Firman, 2008: 281; Pollitt, 2008: 13; Fatile and Adejuwon, 2010: 154).

inappropriate for the implementation of the performance management system (Schick, 1998: 124; Larbi, 1999: v; Polidano and Hulme, 2001: 298; United Nations, 2001: 55; Dunn and Miller, 2007: 350; Samaratunge, Alam and Teicher, 2008: 27; Ohemeng, 2010a: 457; Dussauge Laguna, 2011: 53). For instance, a case study of the implementation of the performance management system in ten Central and Eastern Europe countries of Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, and Slovenia found no success stories of performance management (Randma-Liiv and Järvalt, 2011: 44). Due to the poor and disappointing track record of implementation of the performance management system in developing countries, Ohemeng (2009b; 2010b) views its implementation in developing countries as “Holy Grail” or “chasing a mirage.”

The performance management system of the Botswana public service was modelled on the New Zealand New Public Management model, which is a top-down, systematic, holistic and integrated approach (Academy for Educational Development, 1996: 1; Henderson and Hacker, 2002: 1; Kiragu and Mutahaba, 2006: 7; Commonwealth Association for Public Administration and Management, 2008: 34; Mothusi, 2008: vii; Washington and Hacker, 2009: 1). It is widely accepted in the performance management literature that the New Zealand New Public Management model is not easily transferable to conditions in developing countries, especially those in Africa, Caribbean, Central and Eastern Europe, Commonwealth of Independent States, Latin America, and Southeast Asia (Ingraham, 1993: 349; Schick, 1998: 123; Polidano, 2001: 346; Polidano and Hulme, 2001: 298; de Waal, 2007: 72).

Although the New Zealand New Public Management model is systematic, holistic and integrated in approach, it is criticised in the performance management literature for being mechanistic and formulaic and thus failing to take into

account the realities of public service institutions in developing countries. The New Zealand New Public Management model adopts the Universalists' view that Western management techniques or practices such as the performance management system are universal and transcend cultural and historical contexts.

According to the Institute of Development Management Consortium (2006: 8), the launch and installation of the performance management system of the Botswana public service was modelled on the United States of America navy strategic planning model. This model was selected by the Botswana National Productivity Centre (lead consultants) and the Directorate of Public Service Management (contracting agency) as the best practice in strategy design. The model was slightly modified or customised to suit the Botswana context. Similarly, the study by Mothusi (2008: 178 - 179) concluded that the design and implementation of the performance management system of the Botswana public service did not take into account the concept of organisational culture, that is, cultural beliefs, values and attitudes. According to the Institute of Development Management Consortium, the outstanding strength of the United States of America navy strategic planning model lies in programme action, implementation and strategic focus.

The context in which the social intervention programme is implemented is critical for its successful implementation. It is therefore important that public service institutions scan their environment before they implement the performance management system.

#### **3.5.8.2 Analytical tools to scan the environment**

Environmental scanning or assessment determines if the environment is conducive to the implementation of the performance management system,



establishes the institution's readiness for change and identifies the implementation challenges and difficulties that lie ahead (Bouckaert and Peters, 2002: 360; Kennerley and Neely, 2002: 1227). Environmental scanning is considered a critical element of the strategic management planning process. There are two popular analytical tools used to scan the environment, namely Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis, and Performance-Importance, Opportunity and Threat matrices (Pickton and Wright, 1998: 101; Niven, 2003: 136; Whitehead, 2011: 15).

#### **3.5.8.2.1 SWOT analysis**

The most commonly used analytical tool to scan the environment is the Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis. Strengths and Weaknesses refer to the internal factors to the institution such as its resources, capabilities and employee competencies. Opportunities and Threats refer to external factors to the institution such as competition from the institution's competitors, changing customer needs, demographic shifts, and economic instability (Antonioni, 1994: 32; Pickton and Wright, 1998: 104; Niven, 2003: 137). The SWOT analysis is widely used as a strategic management tool because it is simple, memorable and practical compared to other sophisticated frameworks found in strategy textbooks such as scoring scheme, vulnerability analysis and the Delphi forecasting techniques. It is mostly used for strategy formulation and execution, strategic business plans, management planning and decision making. The SWOT analysis is critical for the institution's survival, improvement and success (Pickton and Wright, 1998: 101 – 102; Niven, 2003: 136; Whitehead, 2011: 15).

However, in practice, SWOT analysis is often simplistic and a mere listing of environmental factors under the headings of Strengths, Weaknesses,

Opportunities, and Threats without any thorough analysis. In most institutions, the SWOT analysis is done without any rigorous research and gathering of data to ensure quality, timely and relevant information (Pickton and Wright, 1998: 104, 107; Niven, 2003: 137; Whitehead, 2011: 15). As a result, there is often lack of understanding of the nature and implications of the SWOT factors to the performance of the institution.

Pickton and Wright (1998: 105) identified three main limitations of SWOT analysis. First, there is inadequate definition of factors which may occur when factors are poorly defined, defined broadly and when there is lack of sufficient information to specify factors accurately. This may result in factors which appear fitting into more than one category; factors which appear not fitting into any of the four categories; and lack of specificity. Second, there is often lack of prioritisation of factors which should be given top priority, secondary priority and equal priority. Lastly, there is often subjectivity in the generation of factors or compiler bias by the single manager or group of managers compiling the SWOT analysis. This may result in some factors being omitted (lack of comprehensiveness); listing of completely unexpected factors; disagreement over factors and the category they belong to; and the factors listed representing opinions and not fact.

According to Nze and Nkamnebe (2003: 283), the environmental scanning capabilities of many African public services are generally weak, especially in terms of identification, analysis and interpretation of key issues and trends that pose actual or potential threats, and/or opportunities. More specifically, the Institute of Development Management Consortium<sup>4</sup> (2006: 8 - 9; 20 - 21)

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<sup>4</sup> The Institute of Development Management is a regional Management Development Institute that was established in 1974 by Botswana, Lesotho and Swaziland to promote regional co-operation and management capacity building. The Institute of Development Management has campuses in the three aforementioned countries. It provides management training, consultancy

identified the following as the main limitations of the SWOT analysis of the Botswana public service. First, there was poor situational analysis and the situational analysis was in most cases generic, hypothetical and theoretical and was based largely on documentary analysis or desk research. Second, the baseline performance data was not stated in measurable terms and thus could not provide a reliable benchmark against which planned and actual performance could be measured. Initially, national development plans and Vision 2016 (national vision) lacked targets and milestones.

Furthermore, national development plans often lacked well defined strategic objectives with measurable success criteria to facilitate alignment with government ministries and independent departments' strategic plans. It was only during the second strategic plans that government ministries and independent departments were able to link their strategic plans with Vision 2016 and the ninth national development plan objectives. However, there was still misalignment between ministerial, departmental and outstations plans and the national vision and the ninth national development plan objectives (Institute of Development Management Consortium, 2006: viii).

Third, there was lack of cause-effect relationships between work activities and strategic objectives, determinants and the core problematic situation in government ministries and independent departments. Fourth, there was inadequate structural analysis and assumption or risk analysis. Fifth, varying and

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and research services to both public and private sector institutions (Republic of Botswana, The Draft National Development Plan 10, 2009: 110). In late 2004, the Botswana government awarded the consultancy to evaluate the relevance, efficiency and effectiveness of the implementation of the performance management system in the Botswana public service to a consortium led by the Institute of Development Management. Other members of the consortium were Economists and Management Consultants, HayGroup and Human Resources and Management Consultants (Institute of Development Management Consortium, 2006: vi).

sophisticated terminology was used for strategy development. Sixth, there was over-analysis of performance management system concepts such as objective and outcome. Seventh, there was lack of time dimension in strategy formulation. Eighth, there was omission of cross-cutting and multi-sectoral issues such as poverty alleviation, employment creation and economic diversification. Ninth, there was failure to implement long-term plans due to vagueness of action and strategic plans. Tenth, there was lack of a performance management system driven budgeting system. Eleventh, weak action oriented verbs were used in the formulation of performance objectives. Finally, there was lack of verifiable performance indicators of quality (Institute of Development Management Consortium, 2006: 8 - 9; 20 – 21).

To improve environmental scanning capabilities of the Botswana public service, the Institute of Development Management Consortium (2006: 10) stressed the importance of making strategic planning sessions focus on strategic choices, pre-feasibility analysis of the various strategic planning options, and scenario development and analysis.

#### **3.5.8.2.2 Performance-Importance, Opportunity and Threat matrices**

Pickton and Wright (1998: 102) suggest that the limitations of the SWOT analysis can be surmounted by the development of Performance-Importance, Opportunity and Threat matrices. They argue that the development of Performance-Importance, Opportunity and Threat matrices will compel the institution to analyse the likely probability and impact of any factor on its operations. These extra stages of analyses are likely to result in better specification and definition of factors; prioritisation of factors and elimination of irrelevant factors (Pickton and Wright, 1998: 106). The main focus will be on factors that score highly on both “probability of occurrence” and on “likely

impact” on the performance of the institution. To overcome the subjectivity of the SWOT analysis, other approaches such as the scoring scheme, vulnerability analysis and the Delphi forecasting techniques are used. Whitehead (2011: 15) recommended that SWOT analysis should focus on few basic concepts that address real situations such as scenarios or options and competitive advantage.

The programme context covers both the internal and external environment.

### **3.5.8.3 Internal environment**

The following factors in the internal or institutional environment affect the implementation of the performance management system: the degree of centralisation and decentralisation of management authority, institutional culture, office space and accommodation, and reform fatigue.

#### **3.5.8.3.1 Centralisation and decentralisation of management authority**

Structural issues such as the degree of centralisation and decentralisation of management authority affect the implementation of the performance management system. In institutions that are highly decentralised, it is recommended that departments and divisions be given authority to develop their own approaches and processes of setting performance objectives, giving and receiving performance feedback, and conducting performance and development reviews, but conforming to certain agreed general principles and guidelines issued by the headquarters (Armstrong and Baron, 1998: 358). In institutions that are highly decentralised and geographically dispersed, it is often difficult for the headquarters to control, monitor and co-ordinate the implementation of the

performance management system (Blunt and Jones, 1992: 112; Dowling, Welch and Schuler, 1999: 164).

Performance management processes should be aligned with the practical work of the institution. These should be linked with strategic and departmental planning processes. Performance management processes should also add value to the institution by improving performance and contributing to continuous institutional development and self-development. Lastly, they should fit with institutional work practices (Armstrong and Baron, 1998: 379). A participatory and inclusive (democratic) style of management is suitable for the successful implementation of the performance management system than a coercive and authoritarian style of management (Hope, 2002: 534).

According to Mothusi (2007: 10), African leaders in both the political and administrative spheres are generally perceived to have failed to use positive African values and beliefs to establish efficient and effective political and administrative systems. Leadership and management styles in Africa are generally viewed as authoritarian and paternalistic emphasising absolute obedience to authorities and thereby stifling initiative, flexibility and creativity (Blunt and Jones, 1992: 81; Beugré and Offodile, 2001: 538). Authoritarian and paternalistic leadership and management styles are inimical to employee commitment, loyalty and productivity (Beugré and Offodile, 2001: 544).

In general, managerial authority in African public services is highly centralised and employees are rarely involved in decision-making. There is strong emphasis on close supervision which leads to employee resentment (Blunt and Jones, 1992: 82; Beugré and Offodile, 2001: 545; Mutahaba and Ally, 2008: 21). African public service managers are generally overworked because they are unwilling to delegate responsibilities. Authority and respect are accorded to elders and this

may create difficulties for a young manager to give instructions to staff members who are older than him or her (Blunt and Jones, 1992: 252; Beugré and Offodile, 2001: 537).

#### **3.5.8.3.2 Institutional culture**

Institutional culture is critical to the successful implementation of the performance management system. According to the literature, a performance-oriented and learning and measurement culture is required to successfully implement the performance management system. The successful implementation of the performance management system requires an institutional culture that promotes continuous performance improvement (Armstrong and Baron, 1998: 112; de Waal, 2004: 303; de Waal and Counet, 2009: 369 – 370; Fryer, Antony and Ogden, 2009: 480). The literature review showed that some of the values and practices that are critical to the successful implementation of the performance management system are lacking in most African, Central and Eastern European, and Latin American countries. These countries often lack well-established public service traditions and administrative cultures that are necessary for the successful implementation of the performance management system (Dussauge Laguna, 2011: 53; Randma-Liiv and Järvalt, 2011: 37).

Public service traditions and administrative cultures in developing countries are often characterised by patronage, corruption, centralism, and lack of effective accountability mechanisms (Dussauge Laguna, 2011: 53). African cultures' respect for customs and traditions often impede the adoption and implementation of new performance management techniques and flexibility and adaptability to institutional change (Beugré and Offodile, 2001: 542). African public service managers are perceived to be more inclined to the bureaucratic model because of its emphasis on stability, predictability and strict adherence to

processes, procedures, rules and regulations, and precedence (Blunt and Jones, 1992: 99; Beugré and Offodile, 2001: 540; Owusu, 2006: 701; Mutahaba and Ally, 2008: 6). Managerial discretion is viewed as a source of discomfort (Blunt and Jones, 1992: 259).

African public service managers are perceived to be lacking a performance-oriented culture (Blunt and Jones, 1992: 228). They are perceived to be more concerned with interpersonal and administrative matters than with substantive issues of policy, individual and institutional performance (Blunt and Jones, 1992: 82; 228; Beugré and Offodile, 2001: 541). African customers are viewed as less demanding about service quality and less knowledgeable about their rights, hence they expect little from the public service and settle for inferior goods and services (Schacter, 2000: 10; Beugré and Offodile, 2001: 546; Mutahaba and Ally, 2008: 28).

The African culture of collectivism may lead to nepotism and favouritism in administrative decisions and thereby undermine professionalism and objective performance appraisals (Beugré and Offodile, 2001: 538; Owusu, 2006: 699). Performance appraisal systems in African public services tend to stress compliance rather than performance (Mutahaba and Ally, 2008: 7). African employees, on the other hand, are viewed as risk-averse and unwilling to take independent action or initiative without the approval of the manager or deference to rank or power and authority (Blunt and Jones, 1992: 30; Beugré and Offodile, 2001: 537; Mothusi, 2007: 9).

Criticism, even if it is constructive, is frowned upon as it is considered unprofessional and destructive. There is avoidance of face-to-face confrontation of poor work performance or underperformance. The problems of poor work performance are normally attributed to technical or impersonal explanations



(Blunt and Jones, 1992: 193). Thus, constructive criticism cannot be used for accountability, learning, continuous improvement and to report mistakes and failures (Schacter, 2005: 6). Consequently, formal performance appraisal systems are seldom developed and implemented in African public services (Beugré and Offodile, 2001: 542). All the above mentioned factors make African public services to be conservative and change-resistant (Blunt and Jones, 1992: 215; Beugré and Offodile, 2001: 538).

A goal-oriented or results-oriented culture is also considered critical for the successful implementation of the performance management system. However, even in countries that have a results-oriented culture such as the United States of America, a gradual implementation of the performance management system is recommended. It often takes considerable time and effort to change from the bureaucratic model of institutional culture to a performance-oriented culture (Andrews, Comini and Vieira, 1999: 491). The shift from a bureaucratic model to a performance-oriented culture often creates anxiety among managers and employees (Laurin and Wagner, 2011: 37).

African public service managers and employees are generally perceived to be more inclined towards the following of regulations and procedures than with institutional performance (Blunt and Jones, 1992: 6). According to Andrews, Comini and Vieira (1999: 496), to successfully change the institutional culture, at least one third of the staff should be trained in new performance management techniques. These authors argue that this training should be extended to all categories of staff, that is, top management, middle management and junior management staff, and the top-level elected political leaders.

#### **3.5.8.3.3 Office space and accommodation**

It is also of critical importance that the physical work environment should be conducive. To promote the self-esteem, morale and job satisfaction of employees, the layout and location of office buildings should be appropriate, office buildings should be well maintained, office facilities should be modern, and the work environment should be clean and secure (Hope, 2002: 533). However, African public services often lack proper office space and office supplies (Schacter, 2000: 10).

#### **3.5.8.3.4 Reform fatigue**

The implementation of the performance management system may be constrained by reform fatigue. That is, the implementation of multiple management initiatives all at once or in quick succession (Owusu, 2006: 702; Dzimbiri, 2008: 55; Pollitt, 2008: 170). If that is the case, staff members may view the implementation of the programme as another management fad or fashion that will come and go (Massey, 1999: 11; Dzimbiri, 2008: 56; Pollitt, 2008: 173).

The performance management literature indicated that the implementation of the performance management system in the Botswana public service was constrained by the simultaneous implementation of other performance improvement initiatives such as the balanced scorecard, performance-based reward system, decentralisation, business process re-engineering and total quality management (Mothusi, 2007: 8; Dzimbiri, 2008: 55). Similarly, the implementation of the Ghana Civil Service Performance Improvement Programme was affected by the simultaneous implementation of the public financial management reform programme; legal reform and decentralisation (Antwi,

Analoui and Nana-Agyekum, 2008: 261). Reform fatigue creates confusion, demoralisation and cynicism among managers and employees (Schacter, 2006: 3; Dzimbiri, 2008: 55; Pollitt, 2008: 170). It distracts and overburdens managers and employees with many reform activities thereby making it difficult to maintain strategic focus (Antwi, Analoui and Nana-Agyekum, 2008: 261).

Restructurings also affect the implementation of the performance management system by creating career anxiety among managers and employees and thus affecting work performance and commitment (Dowling, Welch and Schuler, 1999: 208). Restructuring often renders some of the staff members' functional skills and knowledge redundant (Dowling, Welch and Schuler, 1999: 215). Following restructuring, it frequently takes many years to put new procedures and structures in place and to appoint new staff. It also takes more time for managers and employees to learn their new roles, and to familiarise themselves with new procedures and structures (Pollitt, 2008: 3; 17).

#### **3.5.8.4 External environment**

The following factors in the external environment may affect the implementation of the performance management system: political and administrative system and the information and communications technology infrastructure.

##### **3.5.8.4.1 Political and administrative system**

The political environment in which the public service operates also determines the successful implementation of the performance management system. Conservative governments and right-wing political parties will normally have positive attitudes towards the implementation of the performance management system as it is in line with neo-liberal thinking of increasing efficiency,

effectiveness and quality and reducing the size of the public service. The often cited examples are conservative regimes of R. Reagan and M. Thatcher. On the other hand, left-wing governments and political parties will often have negative attitudes towards the implementation of the performance management system because they prefer large public services (Jacobsen, 2005: 773; Schacter, 2005: 9).

As already noted in Chapter Two (see *supra* 2.10), implementation of the performance management system has fared better in countries of the Anglo-Saxon administrative tradition than those of "*Rechtsstaat*" administrative traditions; in majoritarian party systems than in consensualist systems; in countries which had long tenures of right-wing governments that embraced the basic New Public Management doctrines; in countries where there is clear separation of careers between politicians and senior civil servants; in countries with cultures that score lower on uncertainty avoidance and higher on individualism than in countries that score higher on uncertainty avoidance and high on collectivism; and in countries with established traditions of administrative reforms and strong and stable public administration systems.

#### **3.5.8.4.2 Information and communications technology infrastructure**

The successful implementation of the performance management system requires sound information and communications technology infrastructure that enables the application of information and communications technologies and web-based technology solutions which will allow automation; online delivery of services (electronic services); process re-engineering; use of electronic mail and introduction of workflow management systems. The use of information and communications technologies and web-based technology solutions is likely to enhance operational efficiency, improve access to information, improve internal

and external communication, and expedite decision-making thereby leading to prompt public service delivery, efficiency gains and cost savings (Asgarkhani, 2005: 469).

However, according to Asgarkhani (2005: 474), the effective use of information and communication technologies and web-based technology solutions in developing countries is affected by lack of telecommunications and network infrastructure; limited access to personal computers; lack of financial resources to develop the necessary infrastructure; lack of information and communication technologies' literacy; limited Internet access; reluctance by people to use new technologies, especially for those cultures that value face-to-face interaction; and high access costs to global networks and the Internet. However, the situation has improved with the mass adoption of cellphone technology in most African countries.

### **3.6 CONCLUSION**

Chapter Three discussed the analytical framework that was selected to investigate the implementation of the performance management system. Firstly, this chapter defined an analytical framework as an orientation or general way of looking at the phenomenon under consideration. Secondly, this chapter identified the purposes of an analytical framework in a study. It was explained that an analytical framework, *inter alia*, assists the researcher to better understand and investigate the research problem by answering research questions that cannot be adequately answered through the literature review, and providing assumptions, concepts and theories or forms of explanation and to structure or organise the study in a logical and coherent manner.

Thirdly, the chapter provided justification for choosing the model of social programmes as an analytical framework for this study. The model of social programmes was chosen as an analytical framework for this study because it was appropriate to the unit of analysis, purpose and the research problem for the study. The model of social programmes was developed to evaluate implementation of social interventions programmes, in this case, the performance management system. Above all, it was selected because it provided a holistic, comprehensive and multi-dimensional analytical framework that investigated programme implementation from eight main dimensions. Fourthly, this chapter discussed the eight main dimensions of the model of social programmes, namely programme goals and objectives; target group; explicit outcome measures; programme components; programme infrastructure; the human resource base; programme stakeholders; and programme context.

Under the first dimension of programme goals and objectives, the following were identified as the factors that affect the formulation of performance objectives that are specific, measurable, agreed, realistic and time-bound, that is conforming to the SMART checklist. It was stated that performance objectives of public service institutions often do not conform to the SMART checklist because the formulation of objectives is a political process that involves negotiations and compromises of many competing values, ideals and interests of different stakeholders. The formulation of performance objectives is also affected by the complexities and uniqueness of the public service setting such as polarised political environment; providing a broad array of public services to multiple stakeholders; multiplicity of overlapping and conflicting objectives; and the general lack of clarity of purpose of the public service in legislation and policy documents. Moreover, the formulation of performance objectives is often constrained by weak strategic planning in public service institutions, which affect the formulation of strategic plans, annual performance plans, performance

agreements, and performance and development plans. There is often misalignment of institutional, departmental and individual objectives with vision, mission and strategic plans.

Under the second dimension of the target group, the following were identified as the factors that affect the implementation of the performance management system. Generally, all categories of staff (target group) are often reluctant to implement the performance management system because most institutions often design and implement the programme using cascading or top-down approach. This approach has inherent weaknesses of excluding staff members, especially those in middle and junior management from participating in the formulation of the performance management system philosophy, principles, key guidelines, procedures and processes. Consequently, its implementation lacks buy-in and ownership from the target group, who often perceive the implementation of the programme as an imposition from above because of lack of consultation and participation.

Additionally, the target group is often reluctant to implement the performance management system because of negative attitudes, fears, suspicions, mistrust and cynicism associated with the programme. The target group often perceives the performance management system as a management surveillance and control tool that lacks procedural fairness and imposes compliance and bureaucratic burden without any institutional added-value. Finally, the target group is often reluctant to implement the programme because of lack of performance management knowledge, expertise and experience.

In terms of the third dimension of explicit outcome measures, this chapter identified four categories of performance measurement systems that were developed to measure institutional performance, namely sophisticated financial

models such as economic value added and shareholder value; comparative and benchmarking models such as the European Foundation for Quality Management Excellence Model; quality models such as total quality management; and holistic models such as the balanced scorecard and the public service excellence model. The balanced scorecard was the only performance measurement system that was discussed because it is widely used by public services in Commonwealth Africa, including the Botswana public service. Although the balanced scorecard is widely used by public services in Commonwealth Africa, there are general problems encountered when implementing it.

Some of the general problems include the following. First, the balanced scorecard is not easily transferable to the public service setting because it was originally designed for private sector institutions. Second, it is still a relatively new management tool for the public service in developing countries. The balanced scorecard was only adapted for use by the public sector in 1996 and public services in Africa, Asia, Central and Eastern Europe, and Latin America implemented it in the mid and late 2000s. Third, the uniqueness of the public service often makes the implementation of the balanced scorecard problematic. The four perspectives of the balanced scorecard, namely financial, customer, internal processes, and learning and growth are not easily applicable to the public service.

In terms of the customer perspective, it is often difficult to define the real customer because in the public service a customer does not only include the actual service recipient, but also potential customers, taxpayers and the general public. Institutional performance in the public service is difficult to measure because public services are intangible thereby making it difficult to measure service quality; public services have no market value or prices, hence profitability, percentage of sales or shareholder returns cannot be used to



measure institutional performance; and public services are provided by many public service institutions making it difficult to attribute service improvement to a single institution; Finally, the four perspectives of the balanced scorecard omit some of the core elements of institutional performance that are important to the public service such as probity, fairness, equity, and transparency.

Under the fourth dimension of programme components, inadequate time, efforts, determination, resources and ineffective leadership were identified as some of the factors that affect the implementation of the performance management system. Generally, the political leadership often pressurise the public service to implement the performance management system within a short period, usually three years to fit within the shorter term of political office. The implementation of the programme is often a protracted struggle in the political arena, the public service and society because it involves changing long-established and long-existing institutional behaviours, habits, orientations, values, policies, rules, procedures, regulations, processes, structures and systems, which create inertia to change or resistance to change. Most of the public services in developing countries, especially those in Africa often receive inadequate financial and human resources to implement the performance management system.

Under the fifth dimension of programme infrastructure, the following were identified as factors that affect the implementation of the performance management system. First, public service institutions often implement the performance management system without undertaking compatibility or pilot/readiness test. In cases where pilot studies are done, they are often unrepresentative of the entire public service because they cover a small number of public service institutions. Second, public service institutions often do not collect baseline data before they embark on the implementation of the performance management system. Third, the implementation plans of the

performance management system are often based on overly ambitious timeframes, usually three-year plans underestimating the complexities of implementation. Lastly, the implementation of the performance management system is undermined by weak performance monitoring and evaluation systems, performance appraisal systems and human resource management systems in African public services.

Under the sixth dimension of the human resource base, it was noted that the successful implementation of the performance management system requires highly competent performance management system facilitator or co-ordinator, strong champions of the programme from the highest political and administrative levels, agencies or units co-ordinating the implementation and institutional capacity to implement the performance management system. Generally, there is a shortage of well-trained, skilled and highly motivated performance management system facilitators or co-ordinators in public services in developing countries in Africa, Southeast Asia, Central and Eastern Europe, and Latin America.

Public services in developing countries also lack strong champions of the performance management system from the highest political and administrative levels, especially the President or Prime Minister, Cabinet ministers and head of public service and heads of government ministries and independent departments. Agencies or units co-ordinating the implementation of the programme in public services in developing countries often lack capacity to provide the necessary technical back-stopping support, and authority to enforce compliance. Similarly, public service institutions in developing countries often lack capacity to implement the performance management system because the implementation of the programme only began in the late 1990s and early 2000s.

It was stated under the seventh dimension of programme stakeholders that it is critical to garner support for the implementation of the performance management system from all key stakeholders such as political leaders, top management, middle and junior management, trade unions, and the general public. This is normally achieved by undertaking a stakeholder analysis, public education and by developing an effective communication strategy to share information with all key stakeholders. Finally, it was explained under the eighth dimension of programme context that the implementation of the performance management system is affected by the institutional and external environment.

It is generally accepted that the context in many developing countries, especially those in Africa, Caribbean, Central and Eastern Europe, Commonwealth of Independent States, Latin America, and Southeast Asia is inappropriate for the implementation of the performance management system because of authoritarian and paternalistic leadership and management styles; highly centralised management authority; lack of delegation; lack of performance-oriented culture or results-oriented culture; risk-averse culture; reform fatigue; and inadequate information and communications technology infrastructure.

The next chapter discusses the origins of the performance management system of the Botswana public service.

## **CHAPTER 4**

### **ORIGINS OF THE PERFORMANCE MANAGEMENT SYSTEM OF THE BOTSWANA PUBLIC SERVICE**

#### **4.1 INTRODUCTION**

Chapter Three provided an analytical framework that will be used to analyse the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. Specifically, Chapter Three defined an analytical framework, identified its purposes and provided the justification for choosing the model of social programmes as an analytical framework for this study.

The aim of Chapter Four is to discuss the origins of the performance management system of the Botswana public service. The global origins of the performance management system were discussed in the literature review chapter (see *supra* 2.2). Firstly, Chapter Four identifies the factors that led to the introduction of the performance management system of the Botswana public service. It then discusses four innovations that were introduced in 1999 to improve the performance of the Botswana public service. It concludes with a summary of the main issues discussed.

#### **4.2 BACKGROUND OF THE PERFORMANCE MANAGEMENT SYSTEM OF THE BOTSWANA PUBLIC SERVICE**

The performance management system of the Botswana public service was introduced in 1999 following the recommendations of the consultants of the Academy for Educational Development. This is a United States of America-based

consulting group that was commissioned by the Botswana government from 1994 to 1997 to carry out investigations on the performance of the Botswana public service as well as an evaluation of previous performance improvement programmes (Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 4; Nkhwa, 2003: 4; Bashe and Jongman, 2006: 23; Marobela, 2008: 430; Washington and Hacker, 2009: 2). The performance management system of the Botswana public service was introduced to address the problematic areas of performance of the Botswana public service; the shortcomings of the previous performance improvement programmes and to respond to the new realities and emerging challenges of the twenty-first century.

#### **4.2.1 Problematic areas of performance of the Botswana public service**

Investigations on the performance of the Botswana public service as well as an evaluation of past performance improvement programmes were necessitated by public concerns in the early 1980s and 1990s that the Botswana government and the Botswana public service were ineffective and inefficient service providers (Somolekae, 1998: 24; Hope, 2002: 539; Nyamunga, 2006: 2; Skelemani, 2007: 7; Chirairo, 2008: 1; Dzimbiri, 2008: 47). Public concerns about the performance of the Botswana public service centred on matters such as weak implementation capacity; poor work ethic; low labour productivity; bureaucratic dominance; and corruption and mismanagement.

##### **4.2.1.1 Weak implementation capacity**

In the mid-1980s and early 1990s, there were public concerns that the Botswana public service lacked capacity to implement government programmes and projects. This was evidenced by the non-completion of government projects

within the national development plan period, which necessitated the carry-over of projects from one national development plan to the other<sup>5</sup>. For instance, out of the 188 development projects included in the eighth national development plan which covered the period 1997/98 to 2002/03, 23 were new projects, 156 were projects carried over from the seventh national development plan, and nine were additional projects introduced during the course of the plan (Republic of Botswana, National Development Plan 9, 2003a: 75).

The carrying over or front-loading of uncompleted projects to the next national development plan over-stretched the Botswana public service implementation capacity and undermined public service delivery. The delayed completion of government projects also resulted in huge cost over-runs. For example, government expenditure on development projects during the eighth national development plan was 73% above the original total estimated cost of 11.8 billion pula (pula is the currency of Botswana) (Republic of Botswana, National Development Plan 9, 2003a: 76). Consequently, there were public concerns that the Botswana government and its public service wasted public resources and were insensitive to the needs, aspirations and concerns of the nation (Somolekae, 1998: 24; Hope, 2002: 539; Bashe and Jongman, 2006: 23; Nyamunga, 2006: 2; Skeleman, 2007: 7; Chirairo, 2008: 1; Dzimbiri, 2008: 47).

There were also public concerns that the Botswana public service had limited management capacity to effectively supervise and monitor the implementation of national development plans which resulted in delays in the completion of government projects and shoddy workmanship (Republic of Botswana, National

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<sup>5</sup> The Botswana public service uses a six-year national planning cycle. The national development plan lists the priority policies, programmes and projects which government ministries and independent departments have to implement during the six-year plan period (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 7).

Development Plan 9, 2003a: 76). Moreover, there were also public concerns that the formulation of the national development plans was dominated by foreign consultants, particularly those from Western-based institutions such as Williams College in the United States of America and Toronto University in Canada (Magang, 2008: 400).

The problem of limited policy analysis, management and implementation capacity was addressed in the following ways. First, the Botswana Institute for Development Policy Analysis was established in 1995, charged with the primary responsibility of developing a strong policy analysis and management capability and building capacity in the Botswana public service (Adamolekun and Morgan, 1999: 598; Hope and Chikulo, 2000: 25). Second, on 1 September 2000 former President of Botswana, F.G. Mogae, assigned the then Vice President Lieutenant General S.K.I. Khama the task of overseeing the implementation of government programmes and projects (Mothusi, 2008: 48; Scher, 2009a: online). The office of the Vice President was assigned this responsibility to address public concerns about delays in project implementation, to supplement and complement the co-ordinating role of the Ministry of Finance and Development Planning and to provide a major boost to project co-ordination and implementation and service delivery (Ngcongco, 2012: 37).

Third, in February 2006, government ministries and independent departments were advised to undertake pre-contract services after the draft budget estimates had been approved by Botswana Cabinet and to appoint through a roster system for consultancy services to a maximum project value of 25 million pula (Republic of Botswana, Budget Speech 2007a: 27; Republic of Botswana, Budget Speech 2008a: 31). Fourth, in February 2007, the Botswana government announced that Ministerial Technical Units will be established to speed up project implementation and improve project management (Republic of Botswana, Budget Speech 2007a:

16). Ministerial Technical Units were established to handle all building infrastructure projects worth 75 million pula. In 2010, there were 12 operational Ministerial Technical Units out of the 16 government ministries (Republic of Botswana, State of the Nation Address 2010a: 33).

Fifth, procurement processes were reviewed to allow government ministries and independent departments to approve their project memoranda up to a threshold of 10 million pula<sup>6</sup>. The financial ceilings or thresholds for Ministerial Tender Committees and District Administration Tender Committees were increased biennially to improve effectiveness and efficiency in project implementation and public service delivery. To expedite the procurement and asset disposal processes, the Public Procurement and Asset Disposal Act of 2001 was amended during the 2007/2008 financial year to ease restrictions on retrospective approvals in case of emergencies. The Environmental Impact Assessment Act of 2005 was also amended to waive the requirement for environmental impact assessments on a case by case basis. Moreover, the Public Procurement and Asset Disposal Board is steadily reducing its role in tender adjudication and transferring this role to Ministerial Tender Committees and District Administration Tender Committees to allow it to focus more on its regulatory and monitoring responsibility (Republic of Botswana, Budget Speech 2007a: 27; Republic of Botswana, Budget Speech 2008a: 31; Republic of Botswana, Budget Speech 2010b: 13 - 14).

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<sup>6</sup> In February 2010, the Ministry of Finance and Development Planning reversed its decision granting authority to accounting officers to approve funding for projects worth 10 million pula or less to exclude the approval of project memoranda on consultancies and computerisation because of budgeting and financial management problems encountered during the 2009/2010 financial year across the Botswana public service. There were cost-overruns caused by inadequate budgeting, award of tenders with insufficient funds, change of scope of projects without the requisite approval or authority for additional funds and transferring of funds between expenditure heads without re-prioritising (Republic of Botswana, Budget Speech 2010b: 28).



Sixth, on 1 April 2007, there was further decentralisation of virements to government ministries and independent departments to allow accounting officers (permanent secretaries) to fully manage and control their budgets, and to move funds from slow spending (low priority) to fast spending (high priority) projects before requesting for supplementary funds. The decentralisation of virements covered previously restricted votes for travelling, add back items<sup>7</sup>, personal emoluments, and compensation or general expenses (Republic of Botswana, Budget Speech 2007a: 24). Seventh, technical implementing departments such as the Department of Building and Engineering Services and *Boipelego* Education Project Unit were provided with additional resources to strengthen their implementation capacities (Republic of Botswana, Budget Speech 2007a: 27; Republic of Botswana, Budget Speech 2008a: 31).

Lastly, in May 2007, the Government Implementation Co-ordination Office, now the National Strategy Office, was established to ensure effective implementation of government policies, programmes and projects (Republic of Botswana, The Draft National Development Plan 10, 2009a: 355). Despite the introduction of the above-mentioned measures, implementation capacity constraints still persist in the Botswana public service. For the 2008/2009 financial year, the total recurrent budget was under-spent by 107 million pula, and the total development budget was under-spent by 1.464 billion pula primarily due to implementation capacity constraints (Republic of Botswana, Budget Speech 2010b: 26).

The performance management system of the Botswana public service was introduced to enhance the capacity of the Botswana government and the Botswana public service to deliver public services more efficiently and effectively.

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<sup>7</sup> The Ministry of Finance and Development Planning defined add back items as items of expenditure which do not grow at departmental growth rates and/or generate offsetting revenue, such as pensions and gratuities, subventions to institutional organisations, as well as petrol, oil lubricants and vehicle hire charges (Republic of Botswana, Budget Speech 2008a: 33).

An efficient and effective Botswana public service is critical to national development. For this reason, the performance management system of the Botswana public service is viewed “as an instrument to enable government ministries and independent departments to conscientiously work towards optimum delivery of public services to the nation” (Republic of Botswana, The Performance Management System Philosophy Document for the Botswana public service, 2002: 2; Commonwealth Secretariat, 2010: 17).

#### **4.2.1.2 Poor work ethic**

The problem of poor work ethic of the Botswana public service was noted by Hope (1995a: 41; 1995b: 52; 1998: 125; 1999: 108 – 109; 2002: 531, 539, 541; 2003: 301, 309), who observed that by the mid-1980s, complacency, laziness, negligence of duties and responsibilities, and a culture of indifference had crept into the service resulting in serious bottlenecks in public service delivery and a decline in performance. Similarly, former President F.G. Mogae stated a public concern about poor work ethic in the Botswana public service in his state of the nation address of November 2006. He stated that in terms of work ethic, Botswana was ranked below countries belonging to the Southern African Development Community<sup>8</sup>, such as Mauritius, Mozambique, South Africa and Zimbabwe (Republic of Botswana, State of the Nation Address, 2006a: 18).

Poor work ethic, low labour productivity, delays in getting licenses and permits to start businesses, rigid staff hiring regulations, high redundancy costs, and slow Internet access, are cited as some of the factors that account for Botswana's rapid decline in the World Economic Forum's global competitiveness rankings. In

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<sup>8</sup> Southern African Development Community is a regional economic community in Southern Africa made up of the following 15 member countries: Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, Tanzania, Zambia, and Zimbabwe.

2008, Botswana's worldwide ranking by the World Economic Forum was 56 out of 134 countries surveyed, and this dropped to 66 in 2009, 76 in 2010 and 80 in 2011. In Africa, Botswana has been overtaken by Namibia, Rwanda and South Africa in the World Economic Forum's global competitiveness rankings (Modikwa, 2012: 12; Owino, 2012: 8; Republic of Botswana, Budget Speech 2012a: 10).

The performance management system of the Botswana public service was introduced to improve individual and institutional performance and public service delivery in a systematic and sustainable way by inculcating a culture of performance planning, measurement and monitoring, responsibility, transparency and accountability for performance results or outcomes at all levels. In furtherance of this objective, performance agreements for executive officers, and performance and development plans for non-executive officers were introduced to hold public servants accountable for their performance (Republic of Botswana, National Development Plan 9, 2003a: 366; Nyamunga, 2006: 18; Mothusi, 2008: 175; Nkhwa, 2008: 11; Commonwealth Secretariat, 2010: 17; Lekorwe and Mothusi, 2011: 80).

#### **4.2.1.3 Low labour productivity**

Regarding low labour productivity, the 1982 Presidential Commission on Economic Opportunities found that the Botswana public service productivity, efficiency, and performance had not improved during the period 1980 to 1990 (Hope, 1998: 125; Wescott, 1999: 164). The annual growth rate in total factor productivity in Botswana was estimated to be 2.2% during the period 1974/75 to 1994/95 (Hope, 1998: 126). Similarly, the Botswana Vision 2016 document noted that "labour productivity remains low in many sectors...The performance of the Botswana public service in the implementation of policies has become a matter of concern, and the reform of the Botswana public service is a major challenge to

the nation" (Republic of Botswana, Vision 2016 – Long Term Vision for Botswana: Towards Prosperity for All, 1997a: 19). Productivity awareness in Botswana was estimated to be 7.7% in 1996 (Botswana National Productivity Centre, 2005: 4).

The poor performance of the Botswana public service was attributed to poor discipline, low morale, low salaries and shortage of staff (Kiragu and Mukandala, 2003: online). Prior to the liberalisation of the 1972 National Policy on Incomes, Employment, Prices and Profits in 1990, Botswana public service salaries were low or below their market value. The primary objectives of the 1972 National Policy on Incomes, Employment, Prices and Profits were to promote rapid economic growth, social justice, economic independence and sustainable development. These objectives were to be achieved by preventing income disparities both within and between the urban and rural areas; salary disparities between the private and public sectors; and by using wage restraint or salary compression as a mechanism to facilitate economic growth and make Botswana products globally competitive (Kiragu and Mukandala, 2003: online).

The Revised National Policy on Incomes, Employment, Prices and Profits of 1990 recognised the need for the Botswana public service to have a salary structure that appropriately compensates public service managers according to responsibility and enables the public service to recruit and retain staff with artisan, technical and professional skills (Kiragu and Mukandala, 2003: online). It was observed that though salary compression<sup>9</sup> was critical to maintain social justice, it acted as a disincentive for senior public service managers because they

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<sup>9</sup> Salary compression ensured that public service salaries were in line with rural incomes and salary differentials between senior public service managers and junior officers were narrow. According to Mogalakwe (2008: 429), a large but lowly paid labour force was preferred because it would increase employment opportunities for other citizens, control rural-urban migration, attract foreign direct investment and promote national development.

were not compensated for increased job responsibility. Moreover, there were inadequate salary differentials between salary scales of middle and senior public service managers (Somolekae, 1998: 26). On this basis, the Revised National Policy on Incomes, Employment, Prices and Profits of 1990 recommended salary decompression for senior public service managers and a competitive public service salary structure to avoid losing highly skilled and experienced personnel to the private sector (Kiragu and Mukandala, 2003: online).

In 1992, the Botswana government implemented the recommendation by the Presidential Commission on the Review of the Income Policy of 1990 that “levels of wages and salaries and the differential between occupational categories should be determined by market forces and the government should become a wage follower and not a wage leader” (Kiragu and Mukandala, 2003: online). In 1993, a national productivity movement was launched through the establishment of the work improvement teams and the Botswana National Productivity Centre. The Botswana National Productivity Centre was established in December 1993 to improve productivity in both public and private sectors (Hope, 1998: 128; Sharma, 1998: 116; Somolekae, 1998: 26; Adamolekun and Morgan, 1999: 597; Wescott, 1999: 164 - 165; Ayeni, 2001: 12; Washington and Hacker, 2009: 1). For a discussion of the work improvement teams (see *infra* 4.2.2.6).

The performance management system of the Botswana public service was introduced to quell public disquiet and discontent about poor performance and public service delivery (Bashe and Jongman, 2006: 23; Nyamunga, 2006: 2). It was introduced to boost and sustain productivity and performance by tracking individual and institutional performance; institutionalising regular performance reviews; identifying areas of poor performance and taking appropriate and timely corrective actions to rectify them; and demonstrating results from the financial and human resources allocated (Niven, 2003: 4; Republic of Botswana, National

Development Plan 9, 2003a: 366; Laking and Norman, 2006: 11; Scher, 2009a: online). The Botswana government considers improved labour productivity as a key to sustainable economic diversification and global competitiveness (Republic of Botswana, Budget Speech 2007a: 1; Republic of Botswana, Budget Speech 2008a: 8).

The institutionalisation of regular performance reviews brought a lot of improvement, focus and commitment in the Botswana public service because each individual public officer, government ministry and independent department wanted to be seen as performing or delivering (Scher, 2009a: online). Moreover, it was introduced to change the mindset of public servants by encouraging continuous learning, innovation, creativity, hard work and discipline (Republic of Botswana, The Draft National Development Plan 10, 2009a: xxiii).

#### **4.2.1.4 Bureaucratic dominance**

Public concerns about the bureaucratic dominance of the Botswana public service in public policy making and implementation were raised in 1984 during the seminar of the ruling Botswana Democratic Party (Somolekae, 1998: 26). The bureaucratic dominance raised fears that government policies, programmes and projects would favour bureaucratic interests rather than public interests. In particular, there was growing public concern that the provision of public services had largely been quantitative rather than qualitative, and that the provision of public services had, by and large, been top-down and supply-driven rather than bottom-up and demand-driven, with limited input, consultation and participation from the citizens (Jefferis, 1998: 48 - 49).

There were also public concerns about the quality of delivery of basic public services such as education, health, roads, and water (Republic of Botswana,

Vision 2016 – Long Term Vision for Botswana: Towards Prosperity for All, 1997a: 17; Jefferis, 1998: 49; Somolekae, 1998: 123; Adamolekun and Morgan, 1999: 595). The general perception was that the Botswana “nation does not get adequate value for the resources spent on the development projects” (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 9). To address public concerns about the accountability and transparency of the Botswana public service, the office of the Ombudsman was established in 1995 to investigate acts of maladministration and abuse of office (Sharma, 1998: 114; Tsie, 1998: 18; Olowu, 1999: 607; Mothusi, 2008: 34).

Furthermore, there were public concerns that public servants were not adhering to the eight principles of the Botswana Public Service Charter, namely regard for the public interest; political neutrality; accountability; transparency; freedom from corruption; continuity; the duty to be informed and due diligence (Hope, 1995a: 42; Chirairo, 2008: 1). To address this public concern, the General Orders Governing the Conditions of Service of the Botswana Public Service were reviewed and revised in 1996 to promote professionalism, ethical behaviour and instil discipline (Republic of Botswana, General Orders Governing the Conditions of Service of the Botswana Public Service, 1996: 3 - 6; Ayeni, 2001: 12; Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 40).

The performance management system of the Botswana public service was implemented to ensure public participation in public policy making and implementation. This was to be achieved by shifting focus from managing inputs to customer and stakeholder focus. It is important to solicit the input or views of customers and stakeholders in order to ensure that public services meet their needs, expectations and aspirations (Nyamunga, 2006: 2).

#### **4.2.1.5 Corruption and mismanagement**

Prior to the 1991 three presidential commissions of inquiry, namely the Presidential Commission of Inquiry on the Supply of School Books and Materials to Primary Schools for the 1990 School Year, the Presidential Commission of Inquiry into Land Problems in Mogoditshane and Other Peri-Urban Villages, and the Presidential Commission of Inquiry into the Operations of the Botswana Housing Corporation, corruption and mismanagement were considered to be minimal or non-existent in Botswana<sup>10</sup> (Good, 1994: 500; Hillbom, 2012: 87). However, following these commissions, there were public concerns that the Botswana public service was not as “corrupt-free” as internationally acclaimed (Good, 1994: 506; Hope, 1995a: 44; Sharma, 1998: 113; Somolekae, 1998: 28; Ayeni, 2001: 12; Taylor, 2003: 219; Magang, 2008: 464).

The Presidential Commission of Inquiry on the Supply of School Books and Materials to Primary Schools for the 1990 School Year revealed that Tender Board and Financial Regulations were breached when awarding the tender to International Project Managers. The tender was awarded without competitive public tender bidding and approval of the Central Tender Board (Good, 1994: 501). The Presidential Commission of Inquiry into Land Problems in Mogoditshane and Other Peri-Urban Villages found that there were illegal land transactions in peri-urban villages. It revealed that 841 plots were illegally acquired in peri-urban villages near Botswana’s capital, Gaborone (Good, 1994: 502). The Presidential Commission of Inquiry into the Operations of the Botswana Housing Corporation found that some senior government officials used their positions to influence the allocation of the corporation’s houses (Good, 1994: 504).

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<sup>10</sup> Botswana is still ranked as the least corrupt country in Africa by Transparency International with a score of 0.6 out of 10. Its worldwide ranking is thirty-first (Hillbom, 2012: 87).



These commissions revealed that indeed acts of public administrative corruption and economic crime did exist in the Botswana public service. As a result of these corruption scandals and evidence of bureaucratic corruption, there was demand for greater public accountability from the Botswana public service (Hope, 1995a: 44; Sharma, 1998: 114; Somolekae, 1998: 28; Adamolekun and Morgan, 1999: 593; Magang, 2008: 464; Mothusi, 2008: 33 - 34).

Consequently, an anti-corruption institution known as the Directorate on Corruption and Economic Crime was established in 1994 to combat corruption and economic crimes (Hope, 1997: 144; Sharma, 1998: 114; Somolekae, 1998: 28; Adamolekun and Morgan, 1999: 592; Olowu, 1999: 607; Magang, 2008: 464; Mothusi, 2008: 34). To promote public accountability, transparency, efficiency and effectiveness, and fair competition in the awarding of public tenders, the Botswana government reformed the public procurement and asset disposal system by introducing competitive public tender bidding and establishing a statutory body known as the Public Procurement and Asset Disposal Board (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 3; Republic of Botswana, Budget Speech, 2004a: 16; Mogae, 2007: 11; Mothusi, 2008: 33). On 2 July 2002, the Public Procurement and Asset Disposal Board replaced the Central Tender Board, which was under the Ministry of Finance and Development Planning (Republic of Botswana, Report of the Auditor General on the Public Procurement and Asset Disposal Board for the Financial Year 2006/2007 - Performance Audit Report Number 4 of 2008b: 1).

The performance management system of the Botswana public service was adopted to improve public accountability and management of the public service by addressing problems of corruption and mismanagement. This was to be achieved by making the Botswana public service to adhere to high standards of work ethics and integrity through the institutionalisation of the Botswana Public

Service Charter (Republic of Botswana, General Orders Governing the Conditions of Service of the Botswana Public Service, 1996: 6; Ayeni, 2001: 12; Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 40).

Furthermore, in 1997, the office of the Auditor General of Botswana introduced performance (value for money) audits in addition to traditional financial auditing in order to improve public service administration, accountability and transparency by reviewing the performance of programmes, projects, and operations to ensure that public resources were used economically, efficiently and effectively, for the intended purpose and to ascertain that the intended objectives were achieved (Republic of Botswana, The Report of the Auditor General on Computerisation of Ministry of Foreign Affairs and International Co-operation Headquarters and Missions Accounting System - Performance Audit Report Number 3 of 2006c: iii; Kiragu and Mutahaba, 2006: 10). Prior to the introduction of performance audits, there was no assessment of the economic and social benefits of the policies, programmes and projects implemented by the Botswana public service.

The above mentioned problematic areas of performance of the Botswana public service necessitated the evaluation of previous performance improvement programmes. The evaluation was also necessitated by scepticism about the effectiveness of the previous performance improvement programmes. In the late 1990s, there was growing public concern both inside and outside government that the level and quality of public service delivery was continuing to decline despite the implementation of previous performance improvement programmes aimed at improving the efficiency and productivity of the Botswana public service (Institute of Development Management Consortium, 2006: vi).

#### **4.2.2 Evaluation of previous performance improvement programmes**

Since Botswana's independence on 30 September 1966, a number of public service reform programmes aimed at making the Botswana public service more effective and efficient in the delivery of public services were implemented. Some of the previous performance improvement programmes implemented by the Botswana public service included national development plans; financial and manpower ceilings for government ministries and independent departments; job evaluation; organisation and methods reviews; parallel progression; and work improvement teams (Bashe and Jongman, 2006: 19).

As alluded to above (see *supra* 4.2), the Botswana government commissioned consultants of the Academy for Educational Development from 1994 to 1997 to carry out investigations on the performance of the Botswana public service and to evaluate the effectiveness of previous performance improvement programmes. Similarly, the Directorate of Public Service Management reviewed the administrative reforms it had implemented since the late 1980s to improve public service delivery (Kiragu and Mukandala, 2003: online; Dzimbiri, 2008: 48). The above-mentioned programmes and their limitations are discussed below.

##### **4.2.2.1 National development plans**

Since Botswana's independence, five-year national development plans (later changed to six years) were adopted as an approach for national or strategic planning. National development plans list the priority policies, programmes and projects that government ministries and independent departments have to implement during the six-year plan period (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 7; Bashe and Jongman, 2006: 19). The Ministry of Finance

and Development Planning which was established in 1970 co-ordinates the implementation of Botswana's national development plans (Somolekae, 1998: 23; Good, 2005: 29).

Despite the existence of national development plans, there were shortcomings in project management and implementation. This was evidenced by poorly conceived projects, poor planning, budgeting, supervision and management of government projects which resulted in delays in completion of government projects, shoddy workmanship and cost overruns (Republic of Botswana, National Development Plan 9, 2003a: 76; Nkhwa, 2003: 2; Bashe and Jongman, 2006: 23; Nyamunga, 2006: 2; Monnaesi, 2011: 33). Government ministries and independent departments lacked effective operational plans or annual implementation plans to implement national development plans. In addition, national development plans had no set dates for the commencement and completion of projects which resulted in some projects not being implemented during the plan period (Academy for Educational Development, 1996: 10; Nyamunga, 2006: 7).

National development plans often had a backlog of unimplemented projects. For instance, out of the 1082 projects planned during the 2004/05 financial year, only 250 were completed, and out of the 1177 projects planned during the 2005/06 financial year, only 213 were completed (Mothusi, 2008: 49). To improve project management and implementation capabilities, a Standing Committee on Project Implementation was established comprising selected permanent secretaries to monitor implementation of government policies, programmes and projects. In 2001, a Project Monitoring Unit was established in the Ministry of Finance and Development Planning. In 2004, the Ministry of Finance and Development Planning established a project monitoring system (Republic of Botswana, The Draft National Development Plan 10, 2009a: 354).

The performance management system of the Botswana public service was adopted to improve strategic planning by having lower-level plans such as ministerial strategic plans, departmental strategic plans, and annual performance plans (Republic of Botswana, National Development Plan 9, 2003a: 367; Scher, 2009a: online). Strategic plans were introduced to direct government ministries and independent departments to deliver public services in a focused and co-ordinated manner (Bashe and Jongman, 2006: 23; Dzimbiri, 2008: 48). Government ministries and independent departments were provided with training on how to define and execute their mandates and develop performance objectives, measures and targets. Moreover, performance improvement co-ordinators were appointed to each government ministry and independent department to co-ordinate the performance management system and to develop long-term and short-term deliverables for each government ministry and independent department, and to put in place mechanisms for tracking and monitoring individual and institutional performance (Dzimbiri, 2008: 48; Scher, 2009a: online).

#### **4.2.2.2 Financial and manpower ceilings**

Financial and manpower (labour) ceilings were introduced in the Botswana public service in 1979 to integrate national development planning, budgeting and human resource planning (Wallis, 1989: 52; Somolekae, 1998: 25). The Ministry of Finance and Development Planning and the Directorate of Public Service Management set financial and skilled labour ceilings for government ministries and independent departments to monitor and control the growth of government spending and Botswana public service staffing establishment, respectively. The main objective of financial and skilled labour ceilings is to ensure budgetary sustainability and prudent utilisation of financial and human resources by aligning resource allocations to national development priorities, optimising the utilisation

and distribution of existing resources and reducing the rate of job vacancies to the recommended 2% (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 8; Ayeni, 2001: 12).

There are three ceilings used by the Botswana public service, namely recurrent budget, development expenditure, and the skilled labour ceilings. The recurrent budget ceilings for government ministries and independent departments are consistent with their human resource allocations while the development expenditure ceilings are consistent with human and recurrent expenditure ceilings (Republic of Botswana, National Development Plan 8, 1997b: 114).

Government ministries and independent departments have failed in most instances to stick to the set financial and skilled labour ceilings because of the following reasons. First, new projects and programmes which were not foreseen when planning the national development plan; projects which had increased in scope, contingencies or new legislation often compelled government ministries and independent departments to require additional resources to accommodate these changes. Second, in some cases the set financial and skilled labour ceilings underestimated the needs of government ministries and independent departments, hence requests for supplementary budgets. Third, organisation and methods reviews often resulted in the restructuring of government ministries and independent departments which necessitated the creation of additional posts (Hope, 1998: 138; Somolekae, 1998: 25; Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 44; Republic of Botswana, National Development Plan 9, 2003a: 374 - 378).

Notwithstanding the setting of financial and skilled labour ceilings, there was general wastage and inefficient management of public resources by government ministries and independent departments which necessitated supplementary

budget requests. In particular, inefficient management of human resources resulted in the creation of unnecessary posts and overstaffing at lower pay grades (industrial class employees) leading to low levels of labour productivity (Hope, 2002: 539; Nyamunga, 2006: 2; Dzimbiri, 2008: 48). Consequently, there were public concerns about the size of the Botswana public service and its wage bill (Jefferis, 1998: 47; Adamolekun and Morgan, 1999: 595; Nkhwa, 2008: 13).

According to Kiragu and Mukandala (2003: online), the Botswana public service wage bill share of the gross domestic product remained very high throughout the 1990s, at approximately 10%. Similarly, the ratio of public spending to the gross domestic product had been very high. It was approximately 30% in the mid-1970s and it rose to over 40% of the gross domestic product by the early 1990s (Jefferis, 1998: 35). The Botswana public service wage bill for the 2011/2012 financial year was 12 billion pula. This amount was considered astronomical and unsustainable because it represented 38% of government's total recurrent expenditure, and exceeded the 10 billion pula that was allocated for development projects (Botlhale, 2011: 35; Ramsay, 2011: online).

To address the problem of a huge public service wage bill, the Botswana government will reduce the size of the public service<sup>11</sup>, freeze the creation of new posts, and each government ministry and independent department is expected from 2012 to reduce its wage bill by 5% each year for the next 3 years (Republic of Botswana, Budget Speech, 2012a: 12). In 2005, the Botswana

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<sup>11</sup> In comparative terms, the size of the Botswana public service is considered to be large relative to the national population and percentage share of public service wage bill to the development budget. The total establishment for the Botswana public service was 72, 083 in 1997; 77, 277 in 2002/2003 and 99, 842 in 2008/2009. The population of Botswana was 1, 326, 796 in 1991 and it increased to 1, 680, 863 in 2001, and now stands at 2, 038, 228 as per the preliminary results of the 2011 Population and Housing Census (Republic of Botswana, National Development Plan 9, 2003a: 374; Republic of Botswana, The Draft National Development Plan 10, 2009a: 11; 109; Republic of Botswana, Budget Speech 2012a: 7). By comparison, Finland which had a population of 5.3 million in 2004 had a public service with 124, 000 employees (Commonwealth Secretariat, 2010: 90).

government developed a fiscal rule to control public expenditure. According to the fiscal rule, 70% of the budget should go to recurrent expenditure while the remaining 30% is allocated to the development expenditure. The annual public expenditure should not exceed 40% of the gross domestic product. The budget deficit should not exceed 3% of the gross domestic product, which is considered internationally as a limit (Republic of Botswana, Budget Speech, 2007a: 22; Republic of Botswana, Budget Speech, 2008a: 38).

The performance management system of the Botswana public service was adopted to provide a planning and change management framework that is aligned to the budgeting process, national vision (Vision 2016) and national development plan goals. This was to ensure that the Botswana public service delivers on set and agreed goals of Vision 2016 and national development plans (Republic of Botswana, National Development Plan 9, 2003a: 366; Nyamunga, 2006: 2). In addition, it was aligned to the national planning and budgeting processes to ensure that budgets of government ministries and independent departments were in accordance with the national priorities (Laking and Norman, 2006: 11; Commonwealth Secretariat, 2010: 17).

According to Player (2009: 3), budgets are “a financial blueprint of management’s expected plan of action.” Budgets are critical to the successful implementation of the performance management system. They have six key functions, namely: setting performance targets; aligning pay and rewards with work performance; translating national development plans into strategic or annual performance plans; allocating resources in accordance with specified priorities; monitoring and controlling the use of resources; and co-ordinating plans across all institutional functions (Maipose, 2000: 91).



#### **4.2.2.3 Job evaluation**

The job evaluation approach of the Botswana public service was recommended by the Salary Review Commission of 1978 to provide a uniform, systematic and fair method for appraising, grading and rewarding public service posts (Somolekae, 1998: 25; Mothusi, 2008: 37 – 38). Salary Review Commissions are appointed by the President of Botswana to undertake extensive reviews of public service salaries and terms and conditions of service (Kiragu and Mukandala, 2003: online). The following factors are considered when determining Botswana public service salaries: equity, inflation, productivity improvements, budgetary outlook, affordability, international and regional competitiveness, and competitiveness with the Botswana private sector wages and salaries (Kiragu and Mukandala, 2003: online; Republic of Botswana, Budget Speech 2007a: 27; Republic of Botswana, Budget Speech 2010b: 32).

Botswana has relied extensively on the salary review commission approach to determine public service salary adjustments. The latest Public Service Salaries Review Commission was appointed in 2007 to consider conditions of service, including salary scales, allowances and fringe benefits in order to attract, motivate and retain staff with critical skills needed for an effective and efficient Botswana public service<sup>12</sup> (Republic of Botswana, Budget Speech 2008a: 37). The Botswana public service also uses the National Employment, Manpower and Incomes Council, whose mandate includes advising government on remuneration of the public service, to determine public service salary adjustments. The last

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<sup>12</sup> Following the ratification of the International Labour Organisation Public Service Labour Relations Convention 151 which allows the Botswana public service to unionise, the collective bargaining agreement approach is now used to determine public service salary adjustments (Kiragu and Mukandala, 2003: online; Republic of Botswana, National Development Plan 9, 2003a: 386). The Public Service Bargaining Council is involved in the negotiation of Botswana public service salaries. The collective bargaining agreement approach was first used in 2011.

sitting of the National Employment, Manpower and Incomes Council was on 1 February 2010 (Republic of Botswana, Budget Speech 2010b: 32).

The job evaluation approach complements the salary review commission and market benchmarking of public service salary levels (Kiragu and Mukandala, 2003: online). It is a human resource management technique that is used to address perceived or real internal equity and fairness issues in the public service remuneration system (Kiragu and Mukandala, 2003: online). The job evaluation approach was introduced to realign the job structures that had been bequeathed by the British colonial government by aligning job responsibility levels and salary grades (Nyamunga, 2006: 3; Monnaesi, 2011: 32). The inherited salary structure was based on racial discrimination and was unequal between posts held by expatriates (white colonial officers) and natives (Botswana citizens) (Mogalakwe, 2008: 425).

In 1988, a job evaluation system approach known as Patterson Decision Band System was introduced in the Botswana public service to provide a fair remuneration system that was commensurate with job responsibility (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 48; Republic of Botswana, National Development Plan 9, 2003a: 372; Bakwena, 2003: 2). The philosophy of the Patterson Decision Band System is that all jobs involve making decisions and the relative complexity of these decisions determines the responsibility level or band of the post and its appropriate salary scale or grade (Monnaesi, 2011: 32). It ensures equal pay for equal work. However, Mogalakwe (2008: 428, 433) argues that expatriates are still paid higher than citizen employees holding similar positions, qualifications, skill and experience due to inducement packages that they are offered such as gratuity of 25% of total basic salary earned during the period of contract; 25% contract addition; passage allowance; and education allowance for the children.

Job evaluation exercises and salary review commissions are necessary to improve salary and incentive structures of the Botswana public service. Adequate salaries and incentives are critical to performance management because they attract and retain highly skilled and experienced personnel, and maintain high levels of motivation, performance and integrity of public servants (Kiragu and Mukandala, 2003: online).

According to Kiragu and Mukandala (2003: online), job evaluation exercises are generally difficult to undertake because of the following three reasons. First, job evaluation exercises are often time-consuming and expensive to undertake. Second, the results of these exercises are often controversial and contested by public servants either because of perceived bias in the evaluation process or public servants seek to defend their status and interests. Third, there are disagreements about the methodologies used, especially the “Hay points” methodology that compares public service jobs mainly with those in formal sector enterprises, which leads to overestimation of the extent to which public servants are underpaid.

More specifically to the Botswana public service, job evaluation exercises were hampered by shortage of highly skilled labour. The Job Evaluation Unit of the Directorate of Public Service Management, which had the primary responsibility to implement the job evaluation exercise throughout the Botswana public exercise, was understaffed. Implementation of the job evaluation exercise also encountered problems of staff resistance because in some instances it resulted in downgrading of some staff posts. At the time when the job evaluation was implemented, some public servants misconstrued it as a salaries review. They were disappointed when their posts were not upgraded but downgraded or remained unchanged after the exercise (Somolekae, 1998: 25; Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 48).

#### **4.2.2.4 Organisation and methods reviews**

Organisation and methods reviews refer to the systematic assessment of the adequacy of institutional structures, functions, objectives, work systems and methods with the primary aim of improving performance and delivery of the institutional mandate of government ministries and independent departments (Somolekae, 1998: 25; Adamolekun and Morgan, 1999: 595; Wescott, 1999: 153; Republic of Botswana, National Development Plan 9, 2003a: 366; Nyamunga, 2006: 4; Monnaesi, 2011: 32). The organisation and methods reviews of the Botswana public service are conducted in two stages. The first stage focuses on the review of the institutional structure, functions and objectives whilst the second stage focuses on the study and improvement of work systems and methods (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 1; Monnaesi, 2011: 33).

The Botswana public service introduced organisation and methods reviews to examine institutional objectives and functions at all levels; appraise the adequacy of grouping and distribution of government functions and portfolio responsibilities; determine the effectiveness of communication flows and co-ordination arrangements; streamline institutional structures, systems and methods to ensure effective performance; and to develop institutional charts, manuals and procedures (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 1; Monnaesi, 2011: 33). In this regard, they assisted to rationalise, reorganise and regroup related government functions and portfolio responsibilities as well as remove duplications and overlapping of sectoral portfolio responsibilities, and where necessary established new government ministries and independent departments to improve institutional performance, accountability and

effectiveness (Republic of Botswana, National Development Plan 9, 2003a: 369 – 370; Scher, 2009a: online).

New government ministries that were established included the Ministries of Infrastructure, Science and Technology, and Transport and Communications following the restructuring of the former Ministries of Works and Transport; and Communications, Science and Technology. The Ministry of Defence, Justice and Security was created following the splitting of the Ministries of State President; and Labour and Home Affairs. The Ministry of Environment, Wildlife and Tourism was created after the restructuring of the former Ministry of Commerce and Industry. The Ministry of Labour and Home Affairs was split to create the Ministry of Youth, Sport and Culture while the Ministry of Local Government, Lands and Housing was split to create the Ministries of Local Government and Rural Development; and Lands and Housing. New units and agencies included the Government Implementation Co-ordination Office (now National Strategy Office), and the National Aids Co-ordinating Agency (Republic of Botswana, The Draft National Development Plan 10a, 2009: 110; Republic of Botswana, Budget Speech 2010b: 30).

The implementation of organisation and methods reviews was a challenge in the Botswana public service. Firstly, there was shortage of skilled personnel to carry out the reviews at both the Directorate of Public Service Management and the government ministries and independent departments (Somolekae, 1998: 25). Secondly, the reviews lacked a monitoring and evaluation mechanism to assess their impact on the performance of the Botswana public service. Thirdly, government ministries and independent departments implemented selectively the recommendations of the organisation and methods reviews. Generally, government ministries and independent departments implemented only those recommendations that would provide them with additional resources, in

particular those relating to the creation of new posts, thereby defeating the purpose of the reviews (Republic of Botswana, National Development Plan 9, 2003a: 370).

#### **4.2.2.5 Parallel progression scheme**

The Revised National Policy on Income, Employment, Prices and Profits of 1990 recommended the decompression of salaries for senior public service staff; a parallel progression salary structure for artisans, technicians and professionals; and an enhanced entry salary scale for professional and technical posts (Kiragu and Mukandala, 2003: online). The parallel progression scheme was introduced as an incentive to improve career prospects for artisans, technicians and professionals by allowing them to reach the highest salary grades of the Botswana public service within their cadre (Somolekae, 1998: 26; Adamolekun and Morgan, 1999: 595; Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 48; Kiragu and Mukandala, 2003: online; Mothusi, 2008: 38). The Botswana public service faced severe shortages of qualified and experienced citizens in the following fields: engineering, architecture, medicine, accountancy, statistics, quantity surveying, economics, law and computer science (Republic of Botswana, National Development Plan 9, 2003a: 378; Bashe and Jongman, 2006: 20).

Another aim of the parallel progression scheme was to stem the loss of highly qualified and experienced personnel to the private sector<sup>13</sup> (Adamolekun and Morgan, 1999: 595; Kiragu and Mukandala, 2003: online). In 1988, it was

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<sup>13</sup> The Botswana public service continues to lose skilled and experienced professionals to the private sector and international organisations. On 11 May 2012, the Botswana Attorney General, Dr. Athalia Molokomme, told the Public Accounts Committee of the Botswana Parliament that the Attorney General's Chambers' International and Commercial Division was losing staff to the Southern African Customs Union, Civil Aviation Authority of Botswana, and to private law firms (Makgapha, 2012: 5; Moeng, 2012: 3).

estimated that, at the executive cadre levels, private sector salary was at least 120% more than public service salaries. Furthermore, private sector pension schemes were better than those of the Botswana public service (Kiragu and Mukandala, 2003: online). As a result, attraction and retention of skilled and experienced personnel in the professional and technical fields had been a challenge for the Botswana public service.

The vacancy rates of the Botswana public service for the period 1991/92 to 1996/97 and 1997/98 to 2002/03 were 5 and 4%, respectively (Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 41). In April 2004, the vacancy rate was 4.7% and rose to 8.9% in April 2008 (Republic of Botswana, The Draft National Development Plan 10, 2009a: 110). These rates exceeded the recommended vacancy rate for the Botswana public service which is 2% (Hope, 1998: 138; Republic of Botswana, National Development Plan 9, 2003a: 375).

Due to high vacancy rates, the Botswana public service had inadequate personnel to supervise, evaluate and monitor projects (Hope, 1998: 138; Jefferis, 1998: 39; Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 44). The acute shortage of skilled labour in technical and professional fields adversely affected public service delivery and decision making, especially in matters relating to programme and project selection, design and cost estimation. As a result, there was poor cost estimation of public projects and cost overruns in project implementation. There was also poor investment of public funds in programmes and projects such as the accelerated rainfed arable programme; arable land development programme; small, medium and micro enterprises; accelerated land servicing programme; financial assistance policy and the Sua Pan soda ash project (Jefferis, 1998: 47; Good, 2005: 29; Magang, 2008: 475).

The main problem with the implementation of parallel progression related to the automatic promotion of artisans, technicians and professionals to the upgraded posts without subjecting them to performance appraisal. This has since been stopped (Republic of Botswana, National Development Plan 9, 2003a: 372). The parallel progression scheme created dissatisfaction in the Botswana public service because the new salary grades that were developed for artisans, technicians and professionals resulted in inequities in salaries, especially for teachers (Marobela, 2008: 430).

In an endeavour to attract, motivate and retain labour with critical skills, the Botswana government on 1 April 2008 introduced the scarce skills allowance. In April 2009, the Botswana government undertook a scarce skills audit to determine the impact the allowance has had in filling the vacancy rates experienced as a result of shortage of skilled labour and loss of experienced personnel in the professional and technical fields (Republic of Botswana, Budget Speech 2010b: 17).

#### **4.2.2.6 Work improvement teams**

In 1993, the Botswana public service adapted the concept of work improvement teams from Singapore and Japan's quality circles (Adamolekun and Morgan, 1999: 596; Wescott, 1999: 165; Mothusi, 2008: 39). Work improvement teams were established in the Botswana public service to promote teamwork and a mindset that continuously seek excellence in the performance of work units, sections, departments and government ministries and independent departments by improving work systems, methods, processes and procedures; identifying and solving problems that hinder public service delivery; and by promoting employee-centred management approach, participative leadership, and strong client orientation (Adamolekun and Morgan, 1999: 597; Hope, 2002: 537; Republic of



Botswana, National Development Plan 9, 2003a: 368; Bashe and Jongman, 2006: 21; Monnaesi, 2011: 30).

Work improvement teams were expected to complete two projects in a year (Mothusi, 2008: 39). Some of the achievements of the work improvement teams included the following. By March 2003, 565 facilitators and over 2, 500 team leaders were trained; over 16 work improvement teams awareness sessions were held for senior public service managers; 1000 work improvement teams were registered against the planned 1150; and over 700 projects were undertaken out of which more than 400 had been completed. In government ministries and independent departments where the top management was committed to the implementation of the work improvement teams, there was improvement in the quality of delivery of public services, positive work culture, commitment to work and customer-orientation focus (Republic of Botswana, National Development Plan 9, 2003a: 368).

The work improvement teams faced the following challenges. First, senior management in some government ministries and independent departments did not adequately support and guide them. For instance, the findings and recommendations made by the work improvement teams were in most cases never implemented (Hope, 2002: 537; Hope, 2003: 307). Second, the work improvement teams lacked a framework for performance measurement; hence their impact on group and institutional performance could not be evaluated (Hope, 1998: 134). Finally, work improvement teams did not achieve the desired results of improving public service efficiency, effectiveness and responsiveness because of lack of service culture and business-like attitude (Hope, 1998: 138; Sharma, 1998: 112; Laking and Norman, 2006: 15; Chirairo, 2008: 1).

Apart from the shortcomings of the previous performance improvement programmes, there were other emerging factors that led to the implementation of the performance management system in the Botswana public service.

#### **4.2.3 Other emerging factors that led to the implementation of the performance management system of the Botswana public service**

The performance management system of the Botswana public service was also introduced to respond to the new realities and emerging challenges of the twenty-first century. It was introduced first and foremost as an important tool to facilitate the process of national development, in particular the achievement of the development aspirations of Botswana as articulated in the national vision (Vision 2016), which set out a long term vision for the country (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 1; Republic of Botswana, National Development Plan 9, 2003a: 363; Washington and Hacker, 2005: 401; Bashe and Jongman, 2006: 23; Kiragu and Mutahaba, 2006: 8; Washington and Hacker, 2009: 1).

The performance management system of the Botswana public service links the national vision and the national development plans (Dzimhiri, 2008: 54). Vision 2016 has seven goals that Botswana should achieve by the year 2016, when the country would be celebrating its fiftieth anniversary of independence, namely (1) building an educated and informed nation; (2) a prosperous, productive and innovative nation; (3) a compassionate and caring nation; (4) a safe and secure nation; (5) an open, democratic and accountable nation; (6) a moral and tolerant nation; and (7) a united and proud nation (Republic of Botswana, Vision 2016 - Long Term Vision for Botswana: Towards Prosperity for All, 1997a: 5 - 12). Government ministries and independent departments have to make a contribution towards the achievement of national development plans and Vision

2016 goals by improving delivery on goals and objectives relevant to their institutional mandate (Scher, 2009a: online).

Second, the performance management system was introduced to lead the change process and to restore public confidence and trust in the Botswana government and the Botswana public service (Hope, 1997: 134; Ayeni, 2001: 11). As noted above, in the mid-1980s and 1990s the Botswana government and its public service were viewed negatively as ineffective and inefficient service providers. The performance management system was therefore introduced to turnaround the Botswana public service and to improve the quality of public service delivery (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 47; Republic of Botswana, National Development Plan 9, 2003a: 69; Hope, 2003: 311; Marobela, 2008: 426).

Third, the performance management system was adopted to address the new demands and challenges of the twenty-first century. These included, among others, the need to continuously improve the performance of the Botswana public service to enable it to deliver high quality services that meet higher demands and expectations of customers as well as international standards; to make the Botswana public service more competitive, innovative, creative, effective and efficient; to promote public accountability, transparency and good governance; to promote sustainable economic growth and improve living standards; to promote the development of the private sector; and to transform the mindset of the public servants through the introduction of a customer-centric strategy, a performance-oriented culture and a hard work ethic (Republic of Botswana, National Development Plan 8, 1997b: 437; Republic of Botswana, Vision 2016 – Long Term Vision for Botswana: Towards Prosperity for All, 1997a: 27-34; Ayeni, 2001: 11-12; Henderson and Hacker, 2002: 1; Skelemani, 2007: 8).

Fourth, the performance management system was introduced to respond proactively to the challenges posed by the advent of globalisation and the advances in information and communication technologies. Globalisation and the accompanying advances in information and communication technologies intensified international competition for labour, goods and services, markets, trade, foreign direct investment and official development assistance (Ayeni, 2001: 3; Tsie, 2001: 130; Hope, 2003: 310; Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 40). As succinctly stated by Bare (2001: v), "a strong and achieving public service is a necessary condition for a competitively successful nation." In other words, an effective and efficient public service is a critical success factor in a globalised world (Commonwealth Association for Public Administration and Management, 2008: 18).

Fifth, the introduction of the performance management system in the Botswana public service, as elsewhere in developing countries, was influenced by the public service reforms that were undertaken by the Organisation for Economic Co-operation and Development (OECD) member countries, especially Australia, Canada, New Zealand, Sweden, the United Kingdom and the United States of America (Mutahaba and Kiragu, 2002: 50; Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 10; Adamolekun, 2005: 5; Bashe and Jongman, 2006: 29). Apart from these OECD member countries, other countries such as Malaysia and Singapore influenced the adoption of the performance management system in the Botswana public service. The public service reforms undertaken by these countries were generally presented as a successful model that other countries of the world should emulate (Ayeni, 2001: 3).

Sixth, the Botswana public service was impressed by the remarkable performance achievements made by both public and private sector institutions

that implemented the performance management system. Generally, institutions that adopted the performance management system performed better than those that did not implement the programme. In particular, the Botswana public service was impressed by the notable performance results and improvements attained by domestic and international institutions that adopted the performance management system such as the Botswana Housing Corporation, Botswana Telecommunications Corporation, the New Zealand public service, the United States of America Navy, the United States of America Federal Government and the United States of America Postal Service (Henderson and Hacker, 2002: 6; Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 10).

Finally, as from 2000 onwards, the performance management system has been used as an important instrument to achieve the United Nations' Millennium Development Goals (Ayeni, 2001: 6; Republic of Botswana, Budget Speech, 2004a: 2; Kiragu and Mutahaba, 2006: 14; Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 40). In 2000, the Botswana government and other governments signed the Millennium Declaration which committed countries to achieve the following eight internationally agreed upon development goals: (1) eradicating extreme poverty and hunger; (2) achieving universal primary education; (3) promoting gender equality and empowering women; (4) reducing child mortality; (5) improving maternal health; (6) combating HIV/AIDS, malaria and other diseases; (7) ensuring environmental sustainability; and (8) developing global partnerships for development (Republic of Botswana, The Draft National Development Plan 10, 2009a: 18). Government ministries and independent departments have to contribute towards the achievement of the Millennium Development Goals by focusing on the delivery of goals that fall under their institutional mandates.

As a result of the problematic areas of performance in the Botswana public service, the shortcomings of the previous performance improvement programmes, the new realities and emerging challenges of the twenty-first century, innovations had to be devised to improve public service delivery. Innovations that were implemented by the Botswana public service in 1999 to improve performance are discussed below.

#### **4.3 INNOVATIONS TO IMPROVE THE PERFORMANCE OF THE BOTSWANA PUBLIC SERVICE**

Consultants from the Academy for Educational Development who were engaged by the Botswana government from 1994 to 1997 to investigate the performance of the Botswana public service and to evaluate the effectiveness of previous performance improvement programmes, recommended four innovations, namely performance management system, decentralisation, computerised personnel management system, and human resource development. The Botswana government accepted the recommendations, and these four innovations were implemented in 1999 (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 46 - 47; Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 4; Nkhwa, 2003: 4).

Out of the four, the performance management system is the principal innovation and the other three are meant to support and complement it (Bashe and Jongman, 2006: 21; Institute of Development Management Consortium, 2006: 81; Washington and Hacker, 2009: 2; Monnaesi, 2011: 34). In the following section, the four innovations are discussed as well as the reasons why they were adopted.

#### 4.3.1 Performance management system

According to the consultants of the Academy for Educational Development, the performance management system was adopted to address three main limitations of the previous performance improvement programmes. The first limitation of the previous performance improvement programmes was that they were fragmented or stand-alone one-shot efforts, which were not system-wide. Previous performance improvement programmes lacked an integrated system or a holistic approach and as result they were disjointed, ineffective and at times counterproductive. The performance management system was introduced to integrate the previous programmes into one framework that is comprehensive and holistic (Academy for Educational Development, 1996: 1; Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 5; Bashe and Jongman, 2006: 24; Institute of Development Management Consortium, 2006: 2; Nyamunga, 2006: 4; Washington and Hacker, 2009: 4; Monnaesi, 2011: 33).

The second limitation was that previous performance improvement programmes were not systematic and comprehensive to make maximum performance impact or enable the Botswana public service to perform at higher levels of productivity and service delivery (Academy for Educational Development, 1996: 1; Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 5). The main reason for this was that previous performance improvement programmes were designed without considering the public service as a whole system but to address specific problems that confronted the public service and hence they were *ad hoc*, piecemeal, disconnected and narrow in scope (Bashe and Jongman, 2006: 24; Washington and Hacker, 2009: 4).

The third limitation was that previous performance improvement programmes dealt mainly with administrative, human and financial matters, and institutional operations, mandates and structures. They ignored other equally important matters of socio-economic development such as promoting and sustaining national growth and development, and improving the living standards of the population (Bashe and Jongman, 2006: 19; Kiragu and Mutahaba, 2006: 1; Nyamunga, 2006: 3; Skeleman, 2007: 3; Marobela, 2008: 429).

On the basis of the foregoing analysis, the consultants of the Academy for Educational Development identified the performance management system as an appropriate innovation that would provide a comprehensive, coherent, integrated and sustainable approach to Botswana public service reforms. In particular, the performance management system was recommended because of its main characteristics: it is a holistic and integrated system for performance management; it is compatible with, and reinforces present management structures and previous performance improvement programmes; it provides managers with more disciplined and powerful tools to leverage performance to higher levels; and most importantly, it is permanent, self-sustaining, and self-reinforcing as it promotes continuous learning and improvement of performance (Academy for Educational Development, 1996: 1).

In a similar vein, other researchers such as Henderson and Hacker (2002: 1 - 6); Kiragu and Mutahaba (2006: 7); and Washington and Hacker (2009: 1 - 5) have extolled the performance management system as an appropriate innovation that provides a useful results-oriented performance management framework that focuses on improving and measuring individual and institutional performance; performance and strategic planning; improvement of quality of public services and customer service; transformational leadership; robust performance reviews; and promotes ownership, responsibility and accountability for performance



results. The performance management system provides a framework for setting performance targets, outputs, performance indicators, resource allocation, monitoring and evaluation of performance and integrates strategic plans, resources and activities, and thereby making accountability easy.

#### **4.3.2 Decentralisation**

Prior to decentralisation, all human resource management functions in the Botswana public service were centralised and managed by the Directorate of Public Service Management to which all government ministries and independent departments reported. Government ministries and independent departments could not handle even mundane human resource tasks such as leave applications (Scher, 2009b: online). The Directorate of Public Service Management has the statutory responsibility of administering the Botswana public service in terms of the Public Service Act. It is the principal employer and is responsible for managing and co-ordinating human resource policies and functions in the Botswana public service (Republic of Botswana, National Development Plan 9, 2003a: 365; Nkhwa, 2008: 5).

The centralisation of all human resource management functions in the Directorate of Public Service Management created inordinate delays in government ministries and independent departments in handling matters of staff recruitment, promotions, training, discipline, dismissal and conditions of service (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 47; Republic of Botswana, The Performance Management System Philosophy Document for the Botswana Public Service, 2002: 4; Nkhwa, 2003: 4). Besides the inordinate delays, the centralisation of all human resource management functions was a source of frustration and resentment for government ministries

and independent departments, which led to poor performance and poor public service delivery (Scher, 2009b: online).

In order to successfully implement the performance management system, decentralisation was deemed critical. First, decentralisation was introduced to reduce delays and promote efficiency by removing central administrative controls by the Directorate of Public Service Management (Scher, 2009b: online). Following decentralisation, government ministries and independent departments were given the authority to appoint, promote, train, discipline, demote, dismiss and administer conditions of service of all officers up to the position of deputy director, that is, non-executive cadre positions which start from the A.3 salary scale to D.1 salary scale of the Botswana public service grading structure (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 47; Ayeni, 2001: 12; Republic of Botswana, National Development Plan 9, 2003a: 371; Bashe and Jongman, 2006: 22). Public officers serving in executive cadre positions such as directors, deputy permanent secretaries, and permanent secretaries are appointed and managed by the Permanent Secretary to the President, who is the head of the Botswana public service and secretary to Botswana Cabinet (Nkhwa, 2008: 7).

Second, decentralisation was implemented to allow the Directorate of Public Service Management to focus on more strategic human resource issues such as human capital development, human capital assessment audits, succession planning and human resource development strategy for the Botswana public service (Nkhwa, 2008: 16 – 17; Scher, 2009b: online). Third, decentralisation was introduced to empower permanent secretaries (administrative heads of government ministries and independent departments) by granting them the authority to run and manage their institutions, and freedom to design and implement the performance management system using bottom-up consultation

(Nkhwa, 2003: 4; Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 3). Finally, decentralisation was implemented to create a more responsive and effective Botswana public service that was able to discharge human resource functions without any hindrance from the Directorate of Public Service Management (Scher, 2009b: online).

The Botswana public service implemented decentralisation in three stages. The first stage entailed training staff and creating new mechanisms within government ministries and independent departments to undertake human resource functions or responsibilities previously performed by the Directorate of Public Service Management. The Directorate of Public Service Management organised training workshops and attachments for government ministries and independent departments' staff responsible for the new human resource functions. These workshops and attachments were essential because some permanent secretaries were concerned about the extra responsibilities and work emanating from decentralisation (Scher, 2009b: online).

The second stage involved the creation of new accountability processes. To enable government ministries and independent departments to discharge their new human resource responsibilities, the Directorate of Public Service Management developed guidelines on appointments, training and promotions. Appointments, training and promotions boards were established in government ministries and independent departments to ensure that guidelines on appointments, training and promotions were followed, and to promote transparency and objectivity in discharge of these functions. These boards were composed of senior public officers within government ministries and independent departments, and some officers from the Directorate of Public Service Management, who provided expert or technical support and advice (Republic of

Botswana, National Development Plan 9, 2003a: 384; Nkhwa, 2008: 7; Scher, 2009b: online).

The third stage entailed the creation of an oversight role for the Directorate of Public Service Management which undertook regular spot-checks and audits to ensure adherence and compliance with human resource policies, standards and procedures; and equity and fairness across the Botswana public service in the application of human resource functions (Nkhwa, 2008: 8; Scher, 2009b: online). Apart from human resource management, decentralisation has been extended to other functions such as procurement and supplies management, legal and accounting services. These functions were decentralised to remove the delays and inefficiencies associated with centralisation (Republic of Botswana, National Development Plan 9, 2003a: 371 - 372; Institute of Development Management Consortium, 2006: x; Lekorwe and Mothusi, 2011: 80).

#### **4.3.3 Computerised personnel management system**

Previously, human resource management systems in the Botswana public service were carried out manually without the use of information technology applications or software (Republic of Botswana, National Development Plan 8, 1997b: 457; Hope, 1998: 135; Bashe and Jongman, 2006: 22). Examples of systems that were run manually included the government employee database, government payroll, and government accounting and budgeting. Other systems that were run manually included vehicle licensing, land management, customs, and births and deaths registration. These systems have been automated or computerised through the introduction of the computerised personnel management system, human resource information systems, government accounting and budgeting system, the vehicle licensing system, the computerised tribal and state land integrated management systems, the customs system and computerisation of

births and deaths registration (Republic of Botswana, National Development Plan 9, 2003a: 368; Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 42).

The manual systems were paper-intensive, time-consuming, laborious, slow, inaccurate, costly, and delayed decision-making (Republic of Botswana, National Development Plan 8, 1997b: 457; Hope, 1998: 136; Bashe and Jongman, 2006: 22). As a result of the manual systems, information on the state of the Botswana public service was often inaccurate. For example, the numbers of employees eligible for training, promotion, and retirement were often incorrect. The computerised personnel management system was introduced to improve the accuracy and quality of human resource information by creating online and automated databases that provide up-to-date information on all core human resource management functions such as recruitment; skills and competencies; training and development; health and safety; and benefits administration (Republic of Botswana, National Development Plan 9, 2003a: 385).

Each Human Resource Officer in a government ministry and independent department has a personal computer that is connected to the computerised personnel management system through the government data network and infinium system to enable effective and efficient management of the Botswana public service, faster decision-making and to reduce excessive amounts of paperwork and movement of personnel files (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 47; Republic of Botswana, National Development Plan 9, 2003a: 369; Bashe and Jongman, 2006: 22; Nkhwa, 2008: 8; Scher, 2009b: online). Overall, the computerised systems have facilitated easy, faster and cheaper access to information and thereby contributing to quicker and informed decision making and reduced turnaround times for public services than manual systems.

The computerised personnel management system facilitated the provision of human resources information that is accurate and faster for decision making. The computerised tribal and state land integrated management systems facilitated easy access to land information that is critical for informed decision making and evidence based development planning while the computerisation of births and deaths registration as well as national identity cards led to marked improvements in public service delivery. (Republic of Botswana, Budget Speech, 2007a: 19). The waiting time for issuing of national identity cards was reduced from four weeks in 2007/2008 to two weeks in 2009/2010 (Republic of Botswana, Budget Speech, 2010b: 13). Finally, the computerised court record management system and the judicial case management system of the Administration of Justice improved litigation and reduced the backlog of court cases from 10 683 in February 2008 to under 3000 in September 2009 (Republic of Botswana, Budget Speech 2010b: 23).

#### **4.3.4 Human resource development**

Human resource development was to address concerns that the Botswana public service had a limited talent pool of technically competent public officers with the requisite management and leadership skills (Bashe and Jongman, 2006: 30; Nyamunga, 2006: 17; Nkhwa, 2008: 15). Under the annual staff performance appraisal system which was abolished on 1 April 2004, the meritocratic principle of the Botswana public service was undermined by systems of career progression, pay and promotions based on seniority or long service, automatic pay increments, automatic “in-grade” salary increases and automatic promotions based on the number of years in a grade (Republic of Botswana, A Framework for Long Term Vision for Botswana: Presidential Task Group for a Long Term Vision for Botswana, 1997c: 35; Hope, 2002: 533; Bashe and Jongman, 2006: 26). In cases where the promotions were made based on merit or exceptional

performance, those promoted to executive cadre positions received inadequate leadership development training, mentoring, coaching, supervision, guidance and counselling, to enable them to perform effectively in their new positions (Hope, 2003: 304; Institute of Development Management Consortium, 2006: xv; Washington and Hacker, 2009: 9).

Prior to 2005, the Botswana public service did not use objective methods of performance appraisal such as Assessment and Development Centres for staff appointments and promotions. As a result, some public officers promoted to executive cadre positions were of low calibre (Nkhwa, 2008: 14). Since 2005, only 23.6% of the candidates assessed for leadership positions in the Botswana public service were appointed with reservations, and only 2.7% of them appointed without reservations or developmental needs (Republic of Botswana, The Draft National Development Plan 10, 2009a: 112). A limited talent pool of technically competent public officers adversely affected the performance of the Botswana public service and service delivery (Bashe and Jongman, 2006: 30; Nkhwa, 2008: 15).

The aim of human resource development was to build institutional and technical capacity to implement the performance management system by developing strong leadership and management capacity and providing appropriate skills and competencies for the Botswana public service (Nyamunga, 2006: 3). As a solution to the problem of limited talent pool of technically competent public officers, staff training and development; succession planning; competency-based assessment; executive leadership coaching and mentoring were introduced in the Botswana public service. The Botswana Institute of Administration and Commerce, which provided in-service training for the Botswana public service, was transformed into the Botswana Public Service College to bridge competency gaps and to fulfil the management and leadership development needs of public

service institutions (Botswana Press Agency, 2007: 1; Republic of Botswana, The Draft National Development Plan 10, 2009a: 109). The Botswana Public Service College was launched in late 2009 (Republic of Botswana, State of the Nation Address 2010a: 16).

Hendricks (2006: 12) defined succession planning as a process of identifying and developing high-potential employees with the aim of preparing them for promotion to higher leadership positions in the future. The aim of succession planning and leadership development was to strengthen the Botswana public service leadership and effectiveness (Nyamunga, 2006: 17). As argued by Adhikari (2010: 311), human resource development is critical as it supports both the process and the outcomes of performance management to deliver optimally at different levels of the institution.

The succession planning programme of the Botswana public service is tied to Assessment and Development Centres. Since 2005, Assessment and Development Centres had been used to improve the selection of candidates for appointment into executive cadre positions and identification of performance gaps for candidates with development needs. The Assessment and Development Centres assess the competency levels of candidates as well as their strengths and weaknesses using certain competency parameters and psychometric tests (Nyamunga, 2006: 17). In mid-2009, the Botswana public service introduced psychometric tests for executive cadre positions. Candidates who failed the psychometric tests due to gaps in aptitude are provided with the necessary training to close those gaps (Nkhwa, 2008: 14; Scher, 2009b: online).

Due to capacity constraints, the Directorate of Public Service Management had relied on external agencies to administer competency and psychometric tests. The Botswana public service will establish Assessment and Development Centres



in the near future (Nkhwa, 2008: 15; Republic of Botswana, Draft National Development Plan 10, 2009a: 9). They will assist the Botswana public service to recruit and appoint the right people to the right jobs at the right time, develop a competent pool of public officers for appointment to senior positions, and address the developmental needs of candidates aspiring to occupy senior positions (Bashe and Jongman, 2006: 28).

After candidates have gone through the Assessment and Development Centres, they are taken for leadership development programmes. The Botswana public service has a ten-year leadership development programme that was developed based on benchmarking exercises on leadership styles in high-performing institutions (Commonwealth Secretariat, 2010: 30). The programme targets both political and administrative leaders and focuses on modern trends in public service transformation and the roles that the leadership should play to support institutional transformation (Nyamunga, 2006: 17).

Visionary leadership from both political and administrative leaders is considered a prerequisite for building a motivated and high performing Botswana public service (Hendricks, 2006: 2). The implementation of the performance management system in the Botswana public service is leadership-driven (Institute of Development Management Consortium, 2006: xi; Mothusi, 2008: 115). Hendricks (2006: 5) defined a visionary leader as a master strategist; a change agent and manager; a relationship and network builder; and a talent-spotter and developer. A visionary leader is instrumental to the successful implementation of the performance management system in three respects: establishes purpose and direction; mobilises resources, fosters commitment and motivate staff; and improves the level of performance (Commonwealth Association for Public Administration and Management, 2008: 16).

The Botswana public service sent its officers to institutions in the United States of America such as the Performance Centre, and Transformation Systems International for training in Change Agent Training and Leadership Strategies Programme (CATALYST), Focused Leadership Programme (FLEX), Transformational Coaching Certification Programme and mindset change programmes. Botswana's public servants were also sent for attachment to some of the United States of America's largest corporations such as Microsoft (Lute, 2010: 2). The Botswana public service leadership was trained on mindset development to prepare them for change, to develop their technical and leadership capabilities, and to foster a positive mindset that is supportive of change to minimise resistance to public service reforms (Nyamunga, 2006: 16; Chirairo, 2008: 1; Scher, 2009a: online). Public service managers have been trained in systems thinking perspective to enable them to think system-wide (whole government system) and not only in silos or in terms of their government ministries and independent departments (Nkhwa, 2008: 12).

#### **4.4 CONCLUSION**

The aim of Chapter Four was to discuss the origins of the performance management system of the Botswana public service. It was explained that the performance management system of the Botswana public service was recommended by consultants from the Academy for Educational Development. This a United States of America-based consulting group that was commissioned by the Botswana government from 1994 to 1997 to investigate the performance of the Botswana public service and evaluate previous performance improvement programmes.

The investigations were necessitated by the problematic areas of performance of the Botswana public service. The problematic areas were weak implementation

capacity; poor work ethic; low labour productivity; bureaucratic dominance; and corruption and mismanagement. The investigations were also necessitated by the scepticism about the effectiveness of the previous performance improvement programmes that were introduced to improve the efficiency and productivity of the Botswana public service. These programmes included national development plans; financial and manpower ceilings for government ministries and independent departments; job evaluation; organisation and methods reviews; parallel progression; and work improvement teams.

The consultants from the Academy for Educational Development identified three main limitations of previous performance improvement programmes. The first limitation was that previous programmes were fragmented or stand-alone one-shot efforts, which were not system-wide. Secondly, they were not systematic and comprehensive to make maximum performance impact or to enable the Botswana public service to perform at higher levels of productivity and service delivery. Finally, previous performance improvement programmes dealt mainly with administrative, human and financial matters, institutional operations, mandates and structures ignoring other equally important matters of socio-economic development such as employment creation, economic diversification and poverty alleviation.

The consultants from the Academy for Educational Development recommended four innovations, namely performance management system, decentralisation, computerised personnel management system, and human resource development to address the shortcomings of the previous performance improvement programmes and to improve the performance of the Botswana public service. The Botswana government accepted the recommendations, and these four innovations were implemented in 1999. From these four, the performance

management system is the principal innovation while the other three are meant to support and complement it.

There were a number of reasons why the performance management system was recommended. First, it provided a comprehensive and holistic framework to integrate all the previous performance improvement programmes into one framework. Second, it is used as an instrument to enable the Botswana public service to deliver public services more efficiently and effectively to the nation. Third, it was introduced to quell public disquiet and discontent about poor performance and public service delivery by improving individual and institutional performance in a systematic and sustainable way by inculcating a culture of performance planning, measurement and monitoring, continuous improvement and learning, hard work, responsibility, transparency and accountability for performance results at all levels.

Fourth, it provided a planning and change management framework that aligned strategic planning with the budgeting process, national vision (Vision 2016) and national development plan goals. The performance management system of the Botswana public service is used as an instrument to achieve the national vision, national development plan goals and the United Nations' Millennium Development Goals. It was introduced to improve strategic planning at lower levels by developing ministerial strategic plans, departmental strategic plans, and annual performance plans. Lastly, it was introduced to respond to the new realities and emerging challenges of the twenty-first century.

The next chapter explains the nature and content of the performance management system of the Botswana public service.

## **CHAPTER 5**

### **NATURE AND CONTENT OF THE PERFORMANCE MANAGEMENT SYSTEM OF THE BOTSWANA PUBLIC SERVICE**

#### **5.1 INTRODUCTION**

Chapter Four discussed the origins of the performance management system of the Botswana public service. It discussed the four innovations that were introduced in 1999 to improve the performance of the Botswana public service. As stated in the introductory chapter (see *supra* 1.4), one of the objectives of this study is to explain the nature and content of the performance management system.

Chapter Five continues the discussion by explaining the nature and content of the performance management system of the Botswana public service. As indicated in Chapter Two (see *supra* 2.7) and Chapter Four (see *supra* 4.3.1), the performance management system framework is integrated or holistic in nature and has many components. The next section identifies the main components of the performance management system of the Botswana public service.

#### **5.2 COMPONENTS OF THE PERFORMANCE MANAGEMENT SYSTEM OF THE BOTSWANA PUBLIC SERVICE**

The performance management system of the Botswana public service has eight main components, namely vision, mission and values; balanced scorecard; line item budgeting system; performance agreement system; performance based reward system; business process re-engineering; performance monitoring and evaluation systems.

### 5.2.1 Vision, mission and values

Vision, mission and values are considered as key components of the performance management system because they act as strategic enablers of institutional performance (Talbot, 1999: 26; Niven, 2003: xi). They were adopted in recent years by managers in both the private and public sectors to build a high-performance culture, to recruit and retain the right people who fit well with the institution's culture, mission and values, to provide a framework for innovation, decision-making and high-quality service, and to inspire and motivate employees (Hope and Player, 2012: 13). According to Niven (2003: 101), vision, mission and value statements are a *sine qua non* for any effective institution because they are the building blocks for strategy, inspire employees and stakeholders, guide decisions and align efforts of every employee.

A vision is a desired future state of the institution (Niven, 2003: 117). It serves as a guide to the institution. The vision should be aligned with the institutional mission and values. Performance measurement assists to verify whether the vision is realistic or unrealistic (Halachmi, 2005: 510 – 511). Niven (2003: 102) defined a mission as the primary purpose of the institution, its *raison d'être* or justification for its existence. Values are everlasting and inviolate principles that guide an institution (Niven, 2003: 111). Values are supposed to guide employees' day-to-day behaviours and actions. They should reinforce the mission and assist to achieve institutional objectives (Niven, 2003: 114). The performance management system aligns the institutional vision, mission, values and strategy with departmental, division and individual goals, objectives and targets (Dzimhiri, 2008: 47).

The vision statement of the Botswana public service was issued in January 2002 and it reads as follows: "We, the Botswana public service, will provide a world

class service that is efficient, effective, caring and responsive to local and global challenge" (Kiragu and Mukandala, 2003: online; Monnaesi, 2011: 30). Niven (2003: 118) cautions against the use of buzzwords such as "world class" because they make the vision statement vague and unverifiable. He argues that such buzzwords make it difficult for employees to determine exactly when the institution has achieved its vision or "world class" status.

The mission statement of the Botswana public service reads thus:

*The Botswana public service exists to provide efficient and cost effective service for its customers and stakeholders through the formulation and management of government policies. The public service will implement sustainable performance improvement programmes; provide essential services that are not otherwise accessible to the public; and create a sustainable and conducive environment for quality service delivery. The delivery of services will be provided in a caring, transparent, politically neutral, reliable, responsive, proactive and accountable manner in partnership with all stakeholders. This public service will have a supportive culture that is customer and stakeholder focused; that rewards performance and empowers all. It will be supported and driven by up-to-date technology (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 3; Mothusi, 2008: 47; Monnaesi, 2011: 30).*

The core values of the Botswana public service are the eight principles of the Botswana Public Service Charter, namely regard for the public interest; political neutrality; accountability; transparency; freedom from corruption; continuity; the duty to be informed and due diligence (Hope, 1995a: 42; Republic of Botswana, General Orders Governing the Conditions of Service of the Botswana Public Service, 1996: 3 - 5; Ayeni, 2001: 12; Chirairo, 2008: 1). Government ministries and independent departments have to align their institutional values to the eight principles of the Botswana Public Service Charter.

There is broad agreement in the performance management literature that vision, mission and value statements should be simple, precise, explicit, inspiring, understandable, catchy and memorable (Niven, 2003: 103 - 104; Institute of Development Management Consortium, 2006: 17). It is important that every employee has a deep understanding of the institution's vision, mission and values. In general, most institutions state their vision, mission and value statements too bland to communicate deeper meaning or inspiration to employees; hence employees end up ignoring these statements (Hope and Player, 2012: 12). They use terms such as "service," "customers," "quality," "value" and "leader" which do not inspire employees and stakeholders, and address societies' needs (Hope and Player, 2012: 14 – 15).

The Commonwealth Association for Public Administration and Management<sup>14</sup> (2008: 20 - 21) observed that public service values were difficult to live by and to incorporate into the day-to-day activities of the public service because public service managers and individual public servants rarely practised them. It is always a challenge to blend the public service mentality and the core values of the public service with the value systems of society and the private sector. Changing an institution's value system is often a challenge because few employees, including managers abide by the institutional values (Niven, 2003: 123).

Generally, it is difficult to develop performance measures that track adherence to institutional values. However, behaviours consistent with the institutional values could be assessed during performance reviews (Niven, 2003: 115). According to the Economic Commission for Africa (2004: 34), values such as integrity,

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<sup>14</sup> The Commonwealth Association for Public Administration and Management organises conferences and programmes for countries belonging to the Commonwealth (mostly former British colonies) to discuss matters affecting the public service.



honesty, dependability, helpfulness, impartiality, courteousness and fairness are slowly declining from the public services, and in particular African societies lack systems to reinforce these values. The African cultural values of collectivism or communalism which emphasise strong religious, political, ethnic, village, kinship and family ties often promote corruption, nepotism and favouritism in administrative decisions (Beugré and Offodile, 2001: 538; Owusu, 2006: 699).

The terms mission, vision, and strategy are frequently confused in many institutions, including top management (Niven, 2003: 163 – 164). Niven (2003: 130, 133) observed that most institutions often develop their vision, mission, values, and strategy unsystematically and in the wrong chronological order. According to him, the correct chronological order is as follows: mission, values, vision, and strategy.

The Botswana public service received training to develop vision, mission and value statements and strategic plans (Republic of Botswana, National Development Plan 9, 2003a: 366). The Institute of Development Management Consortium (2006: 16) found that the vision, mission and value statements of the Botswana public service were lengthy for easy memorisation by different levels of staff. As observed by Gbadamosi (2005: 1137), Botswana has a variety of value systems that people hold as compared to a relatively more monolithic system in the Western world. The study by Mothusi (2008: 117, 132) concluded that the induction or professional socialisation of new public servants into the Botswana public service was ineffectual because new employees were expected to read for themselves the General Orders Governing the Conditions of Service of the Botswana Public Service, Botswana Public Service Charter and the Botswana Public Service Act without any formal orientation.

## **5.2.2 Balanced scorecard**

The balanced scorecard is another critical component of the performance management system of the Botswana public service. The mission, values, vision, and strategy are the building blocks of any effective balanced scorecard (Niven, 2003: 155). In 2005, the Botswana public service introduced the balanced scorecard as a tool to provide focus and alignment to strategic planning, to close the gaps between strategy formulation and implementation and performance measurement and management and for performance reporting (Niven, 2003: 15; Bashe and Jongman, 2006: 28; Nyamunga, 2006: 8; Nkhwa, 2008: 11; Commonwealth Secretariat, 2010: 17; Monnaesi, 2011: 21).

### **5.2.2.1 Strategic planning**

Strategic planning is defined as “a disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation is, what it does, and why it does it” (Bryson, 1995: xii cited in Nze and Nkamnebe, 2003: 283; Hildebrand and McDavid, 2011: 46). As explained in Chapter Three (see *supra* 3.5.3.2.1), the balanced scorecard is a holistic management model that was developed by R.S. Kaplan and D.P. Norton in 1990 as a critical tool for implementing strategy or strategic management.

A strategy is critical to the performance management system because it assists institutions to develop a clear strategic direction and action plans; to define and translate mission, values, vision and strategic plans into individual objectives; to develop performance measures and targets; to align resource allocation (budgeting) with strategic goals and objectives; to improve collaboration and co-ordination between institutional departments; and to monitor and report performance results (Niven, 2003: 151). In addition, strategic planning assists

institutions to set short, medium and long-term goals and devise ways to achieve them. An effective strategy can stimulate breakthrough ideas that can enable an institution to adapt to change, grow and survive over time (Hope and Player, 2012: 20). It is therefore fundamental to effective performance management.

In the case of the Botswana public service, national development plans provide strategic planning at the national level. The Botswana public service uses the balanced scorecard and the Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis as frameworks for strategy formulation and execution. The Botswana public service mainly used the SWOT analysis to scan the internal and external environment and as an ongoing performance management tool (Niven, 2003: 138). Government ministries and independent departments' strategic plans contain key national development plan priorities that relate specifically to the government ministries and independent departments' core mandates (Nkhwa, 2003: 4; Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 7; Commonwealth Secretariat, 2010: 17).

Government ministries and independent departments' strategic plans cover the same period as the national development plans. The strategic plans of government ministries and independent departments are implemented through annual performance plans which outline what the government ministries and independent departments will do in the current performance plan. Performance agreements for executive officers and performance and development plans for non-executive officers are developed from annual performance plans. Performance agreements and performance and development plans are used to review performance of executive and non-executive officers, respectively (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 7; Nyamunga, 2006: 7).

Generally, institutions encounter difficulties to execute strategy (Stainer and Stainer, 1998: 111; Kaplan, 2001: 358; Nze and Nkamnebe, 2003: 283; Wisniewski and Olafsson, 2004: 607; Nyamunga, 2006: 7; Whitehead, 2011: 15). According to Niven (2003: 11), only 10% of institutions successfully execute their strategy. The literature review has identified the following as the main barriers to implementing strategy. First, the concept of strategic planning is poorly understood by many people. Niven estimated that in most institutions only 5% of the workforce understands the strategy. He argues that most institutions fail to communicate their strategy to all employees and in most institutions strategy is the preserve of senior management. The implementation of change programmes, including the performance management system often fail because of lack of effective communication with all key stakeholders (Niven, 2003: 77). Hope and Player (2012: 27) advise that most strategic planning and action planning should be done by frontline managers.

Second, strategic planning is constrained by shortage of strategy skills, limited information and the turbulent environment in which institutions operate (Whitehead, 2011: 15). Whitehead further observed that strategy teaching does not assist managers to deal with the complexities and challenges of strategic decisions, in particular how to develop strategy with insufficient information, how to frame the strategic issues, how to generate a wide scope of planning options, scenarios and opportunities, and how to select between those options, scenarios and opportunities. Moreover, Whitehead contends that case studies and concepts used in strategy sessions and textbooks such as collaborative strategy and stakeholder engagement are theoretical and technical and thus fail to deal with the basics.

Third, according to Nze and Nkamnebe (2003: 283), strategic planning is generally weak in African public services because of inadequacies to answer the following strategic planning questions, considerations and values:

- Precisely who and what are we as a government ministry or independent department?
- Who are our stakeholders (that is, the clientele we serve or the people affected by our activities)?
- What yardsticks do our stakeholders employ in measuring our institutional performance?
- In general, what are the basic social, economic or political needs that we have to satisfy or address?
- In what particular ways should we act to meet the needs and expectations of our stakeholders?
- What are our philosophies and values as a government ministry or independent department?
- Inadequate understanding of the factors that affect both the internal and external environments in which the government ministry or independent department operate, the opportunities and threats posed by these environments; internal institutional strengths and weaknesses; the political, economic, social and technological trends (PESTS) which can affect institutional plans and the achievement of objectives.
- Absence of a vision of success.

Fourth, in most institutions performance rewards are not linked to strategy. Niven (2003: 11) estimated that only 25% of managers have performance rewards linked to strategy. Fifth, senior management teams devote less time to strategy. Most of the management time, effort and attention are spent on fire fighting and attending daily institutional work pressures and deadlines (Bowman, 1999: 567; Bourne, Neely, Platts and Mills, 2002: 1296; de Waal and Counet,

2009: 368). According to Niven (2003: 11), 85% of senior management teams spend less than one hour per month discussing strategy execution. Sixth, the execution of strategy is hampered by resource constraints. Niven (2003: 12) estimated that 60% of institutions do not link budgets to strategy. In most of the institutions that use line item budgeting, the budget is often planned by adjusting upwards or downwards the previous year's budget by a certain percentage without considering the strategic plan. Finally, most institutions make strategy an end in itself or destination rather than a direction (Hope and Player, 2012: 24).

More specifically, the Botswana public service encountered the following difficulties with strategy formulation and execution. First, strategic planning at the level of government ministries and independent departments was weak (Academy for Educational Development, 1996: 10; Institute of Development Management Consortium, 2006: 2; Nyamunga, 2006: 2). Second, the first strategic plans that were developed during the period 2003/2004 to 2008/2009 were formulated with limited stakeholder participation (Institute of Development Management Consortium, 2006: 9).

Third, all previous national development plans except the current tenth national development which runs from 2009 to 2016 lacked well defined strategic objectives with measurable success criteria to facilitate alignment with government ministries and independent departments' strategic plans and annual performance plans (Institute of Development Management Consortium, 2006: xi). As a result, it was often difficult to cascade national development plans' strategic objectives into ministerial, departmental and individual objectives and to monitor the implementation of the national development plans, strategic plans and annual performance plans (Nyamunga, 2006: 7; Mothusi, 2008: 157; Monnaesi, 2011: 25).

The second reason why there was misalignment of national development plan objectives and government ministries and independent departments' strategic objectives, departmental and individual objectives was because government ministries and independent departments often formulated strategic plans and annual performance plans without making reference to the national development plan. The main emphasis by government ministries and independent departments was on operational objectives and project-based outputs rather than on national development plan objectives and outputs related to the attainment of economic and social objectives. Consequently, some of the national development plan objectives such as economic diversification, employment creation and poverty alleviation were omitted in government ministries and independent departments' strategic plans (Institute of Development Management Consortium, 2006: viii; Nyamunga, 2006: 7).

The third reason why there was misalignment of strategic objectives and departmental and individual objectives was that sectional departments formulated their strategic plans without making reference to the corporate strategic plan. This created operational conflict and misuse of human, financial and material resources (Nyamunga, 2006: 7). Due to these challenges, considerable time and human effort were spent crafting strategic plans. As a result, execution of strategic plans and public service delivery suffered (Botswana Press Agency, 2007: 1; Mothusi, 2008: 128).

To improve strategic planning capabilities of African public services, Nze and Nkamnebe (2003: 283 - 284) recommended the establishment of Research and Policy Analysis Units dedicated to policy research and planning intelligence and analysis; nurturing the entrepreneurial spirit in African public service institutions; forging strategic partnerships with universities on policy research, including provision of evaluation research support; and by enhancing environmental

scanning capabilities of African public service institutions through identification, analysis and interpretation of key issues and trends that pose actual or potential threats, and/or opportunities. More specifically to the Botswana public service, the Institute of Development Management Consortium (2006: 10) emphasised the importance of making strategic planning sessions focus on strategic choices, pre-feasibility analysis of the various planning options, and scenario development and analysis.

#### **5.2.2.2 Performance measurement and management**

The Botswana public service also uses the balanced scorecard as a performance measurement and management system. Performance measurement and management are important tools for enhancing public accountability of public service institutions (Marobela and Mawere, 2011: 5311). The Botswana public service uses the balanced scorecard to translate strategic plans into strategy maps, and performance objectives and measures for the four perspectives of financial, customer, internal process, and learning and growth (Niven, 2003: 19; Nyamunga, 2006: 8). Strategy maps graphically describe the strategy or display strategic objectives that have to be achieved (Niven, 2003: 155; Bashe and Jongman, 2006: 28). The financial perspective is concerned with financial measures of performance. The principal aim of the financial perspective is to control costs or ensure prudent utilisation of resources (Niven, 2003: 32).

The customer perspective involves the identification of the institution's clientele or customers and the creation of value for customers or meeting the needs and expectations of customers. The main objective of the customer perspective is to maintain customer satisfaction. The internal process perspective focuses on operational measures of performance or internal work processes that the institution must excel at to create value for customers. The main aim of the



internal process perspective is to improve operational efficiency and turnaround times or response times (Niven, 2003: 32 – 35).

Learning and growth perspective looks at employee skills and competencies (employee training and development), the flow of information (communication), and the work environment. Employee training and development is necessary to ensure that employees have the requisite skills and knowledge to perform well and implement the performance management system. Constant communication is critical to decision making, conveying key messages and information, and creating awareness throughout the institution. An enabling work environment is critical to the successful implementation of the performance management system. An enabling work environment can be created by having a well-trained, informed and motivated workforce. The primary aim of the learning and growth perspective is to enhance employee skills and competencies, ensure free flow of information, and to create a favourable work environment. The learning and growth perspective is considered an enabler of the other three perspectives. It is estimated that over 75% of value in any institution is created by human capital (Niven, 2003: 35 – 36, 197).

More generally, institutions encounter difficulties when using the balanced scorecard as a performance measurement and management system. First, the balanced scorecard is often perceived by many institutions as a relatively simple and straightforward model and thereby ignoring its subtleties and complexities. Due to this perceived simplicity, institutions often jump the planning and development phases of the balanced scorecard and rush into the implementation phase. In addition, in-depth balanced scorecard training is seldom undertaken because of the mistaken belief that the balanced scorecard can be easily learned by employees. The net effect of these is that there is often poor selection of balanced scorecard perspectives, and the performance objectives, measures,

targets and initiatives developed are often misaligned to the institutional strategy (Niven, 2003: 78).

Second, most institutions often lack appropriate skills to design scorecards or performance measures (Ammons, 2002: 344; Kennerley and Neely, 2002: 1238). For this reason, training on the balanced scorecard, especially performance measurement development and selection is considered critical for the successful implementation of the performance management system (Niven, 2003: 79). Third, the capacity to gather performance data is often lacking in institutions (Berman, 2002: 350). Fourth, there is often lack of effective and ongoing communication of the balanced scorecard process (Niven, 2003: 99).

Finally, scorecards or performance measures are hardly used by institutions (de Lancer Julnes and Holzer, 2001: 694). There are three reasons why scorecards are not used. The first reason is that most scorecards are poorly designed and adapted (Niven, 2003: 99). The second reason is that institutions often lack appropriate skills to collect, analyse and interpret performance data and to turn this data into information that could be used for management decision making (Kennerley and Neely, 2002: 1233; Dikolli, Hofmann and Kulp, 2009: 127; Fryer, Antony and Ogden, 2009: 484). The third reason is that there are operational and technical measurement challenges that hinder the development of measures or indicators that are valid, reliable, timely and useful (Dull, 2008: 263; Commonwealth Secretariat, 2010: 5).

More particularly to the Botswana public service, government ministries and independent departments encountered difficulties to develop performance objectives and appropriate performance measures because of the following. First, there was lack of clear performance indicators and targets for some government policies, programmes and projects. Second, there was lack of

performance data on some government policies, programmes and projects. Third, some government policies had conflicting objectives (Republic of Botswana, The Draft National Development Plan 10, 2009a: 354).

Finally, at the initial stages, the national vision (Vision 2016) lacked performance targets and milestones (Institute of Development Management Consortium, 2006: xi). Consequently, performance objectives that were developed were often ill-defined and thereby making it difficult to develop relevant and appropriate performance measures. Ill-defined performance objectives were often interpreted differently within government ministries and independent departments. Individual performance objectives were often misaligned with ministerial and departmental annual performance plans (Nyamunga, 2006: 7; Mothusi, 2008: 157).

#### **5.2.2.3 Performance reporting**

The balanced scorecard is also used by the Botswana public service as a performance reporting tool. Performance reporting is essentially about communication of performance results (Fryer, Antony and Ogden, 2009: 484). According to Fryer, Antony and Ogden (2009: 485), performance reporting should be timely so as to ensure that the information is presented while still relevant. The Botswana public service established institutional or management structures such as the Economic Committee of Cabinet, Performance Improvement Committee of Permanent Secretaries, Ministerial Performance Improvement Committees and Departmental Performance Improvement Committees to facilitate effective implementation of the performance management system and to provide forums for consultation, performance reviews and reporting (Nkhwa, 2003: 6 – 8; Republic of Botswana, Performance

Based Reward System Framework and Guidelines, 2004b: 6 – 7; Nyamunga, 2006: 6).

At a strategic level, government ministries and independent departments report twice a year their performance through Cabinet ministers to the Economic Committee of Cabinet<sup>15</sup>. This is done after every six months during the months of September and March. Government ministries and independent departments report on their performance results and the Economic Committee of Cabinet decides whether the concerned government ministry or independent department has achieved the desired results. The Economic Committee of Cabinet also serves as a briefing and feedback forum for the President. Cabinet ministers use this forum to inform the President and their colleagues about the progress their ministries are making on the implementation of the performance management system, as well as the implementation challenges encountered. The Economic Committee of Cabinet has been critical in securing the political support and buy-in of Cabinet ministers into matters of performance management and public service reform (Nkhwa, 2003: 7 – 8; Nyamunga, 2006: 6; Scher, 2009a: online).

The President of Botswana, Vice President and Cabinet ministers are the political champions of the performance management system. According to the literature review, the political leadership of Botswana has demonstrated visionary leadership, commitment and support to public service reforms, including the performance management system (Botswana Press Agency, 1999: 4; Adamolekun, 2005: 29; Hendricks, 2006: 1; Scher, 2009a: online). Political stability, continuity and commitment had ensured that the implementation of public service reforms, including the performance management system does not lose momentum or waver. Botswana has been ruled for 48 years by one political

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<sup>15</sup> The Economic Committee of Cabinet consists of all Cabinet ministers and is chaired by the President of Botswana. All permanent secretaries attend the meetings of the Economic Committee of Cabinet (Nkhwa, 2003: 7 – 8).

party<sup>16</sup> (the Botswana Democratic Party) and had orderly change of four Presidents, namely Sir S. Khama, Sir K.J. Masire, F.G. Mogae, and Lieutenant General S.K.I. Khama (current) (Kiragu and Mukandala, 2003: 230; Hillbom, 2012: 86). At the initial stages of implementation, the overall responsibility for the performance management system was transferred from the Directorate of Public Service Management to the Office of the President because it has stature and authority and to demonstrate high political priority and commitment and to accelerate implementation (Institute of Development Management Consortium, 2006: ix; Dzimbiri, 2008: 55).

At the ministerial level, permanent secretaries report quarterly to the Permanent Secretary to the President, who is the head of the Botswana public service and secretary to Botswana Cabinet. The permanent secretaries report on the delivery of performance agreements, which they signed with the Permanent Secretary to the President at the beginning of the financial year. According to Hope (2001: 130), performance agreements stipulate standards of performance or measurable targets which a government requires public officials or the management of government ministries and independent departments to achieve over a stated period.

The Permanent Secretary to the President chairs the Performance Improvement Committee of Permanent Secretaries. This is a committee of all permanent secretaries and it operates on the same lines as the Economic Committee of Cabinet. The Permanent Secretary to the President reviews the performance of permanent secretaries bi-annually. The Performance Improvement Committee of Permanent Secretaries was established to enable permanent secretaries to meet monthly to make policy decisions and provide strategic direction on the

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<sup>16</sup> Regime instability has adversely affected the implementation of the performance management system in countries such as Kenya, Malawi and Zambia (Kiragu and Mutahaba, 2006: 15).

performance management system, monitor progress and share experiences, ideas and best practices. It has been instrumental in driving and sustaining the implementation of the performance management system in the Botswana public service by securing the buy-in of the permanent secretaries (Bashe and Jongman, 2006: 26; Dzimbiri, 2008: 48; Mothusi, 2008: 147; Scher, 2009a: online; Scher, 2009b: online; Monnaesi, 2011: 37).

The Permanent Secretary to the President is the chief sponsor of the performance management system and provides policy direction, guidance and support to the entire Botswana public service to ensure successful implementation of the programme. Permanent secretaries are the sponsors or administrative champions of the performance management system in their respective government ministries and independent departments (Bashe and Jongman, 2006: 25; Dzimbiri, 2008: 50). The performance management system of the Botswana public service was an initiative of permanent secretaries. On 7 October 1996, the reference group for the Botswana performance improvement project approved that the performance management system be piloted in three government ministries, namely the Ministries of Health; Labour and Home Affairs; and Works, Transport and Communication (Academy for Educational Development, 1996: 3).

Following the successful piloting of the performance management system in these three government ministries, the permanent secretaries in a meeting held in Francistown, Botswana, in April 1997, approved that this intervention be rolled-out to the whole public service. Subsequently, in February 1999, the Botswana Cabinet endorsed the decision of permanent secretaries to roll-out the implementation of the performance management system to the entire public service (Bashe and Jongman, 2006: 24; Institute of Development Management Consortium, 2006: 1 – 2; Dzimbiri, 2008: 49; Marobela, 2008: 430).

Management stability and commitment, especially at the level of the Permanent Secretary to the President, has been fundamental to the implementation of Botswana public service reforms, including the performance management system. For the past 48 years, only six people have held the position of Permanent Secretary to the President, namely, A. Mogwe, P. Steenkamp, F.G. Mogae, E. Legwaila, M. Selepeng, and E. Molale, who is currently serving in that position (Botswana Press Agency, 1999: 4; Scher, 2009a: online). It is argued that without the commitment and support of the Permanent Secretary to the President, the implementation of the performance management system of the Botswana public service would have slackened or halted. Management stability and commitment have been instrumental to the institutionalisation of the performance management system in the Botswana public service (Bashe and Jongman, 2006: 29; Scher, 2009a: online).

Within government ministries and independent departments, deputy permanent secretaries and directors (heads of departments) report quarterly to their respective permanent secretaries. Deputy permanent secretaries and directors report on the delivery of performance agreements, which they signed with their respective permanent secretaries. At a lower level, all public officers below the director level, report quarterly on their performance during the months of June, September, December and March (Republic of Botswana, National Development Plan 9, 2003a: 382; Scher, 2009a: online).

At the end of each financial year, each government ministry and independent department produces an annual report indicating progress and performance on the annual performance plan, strategic goals and the national development plan macro indicators. The annual report informs Parliament about the performance of each government ministry and independent department when considering government ministries and independent departments' budgetary requests for the

following financial year (Republic of Botswana, National Development Plan 9, 2003a: 383).

Permanent secretaries are responsible for the implementation of the performance management system in their government ministries and independent departments. They chair Ministerial Performance Improvement Committees. The members of the Ministerial Performance Improvement Committees are deputy permanent secretaries, directors, and the performance improvement co-ordinators. Performance improvement co-ordinators serve as internal consultants and co-ordinate the implementation of the performance management system. They assist government ministries and independent departments to cascade strategic plans; plan, monitor and measure performance; conduct performance reviews and compile quarterly reports and briefings (Nkhwa, 2003: 7; Scher, 2009a: online; Scher, 2009b: online; Monnaesi, 2011: 37).

Below the Ministerial Performance Improvement Committees are Departmental Performance Improvement Committees, which are chaired by directors. The Departmental Performance Improvement Committees are made up of divisional heads and rank-and-file staff members. This three-tier structure (Performance Improvement Committee, Ministerial Performance Improvement Committee and Departmental Performance Improvement Committee) was established to facilitate a two-way communication between the management of the Botswana public service and the rank-and-file staff members (Nkhwa, 2003: 7; Scher, 2009a: online; Scher, 2009b: online; Monnaesi, 2011: 37).



### 5.2.3 Line item budgeting system

The Botswana public service uses a line item budgeting system that has separate appropriation or budget lines for items such as salaries, travel, and office supplies (Pollitt, 2001: 18). Government ministries and independent departments are allocated annual budgets to implement their strategic plans. A line item budgeting system is considered incompatible to the performance management system (Pollitt, 2001: 18; Daum, 2003: online; Creelman, 2012: online). The literature has identified the following as the main weaknesses of line item budgeting. First, line item budgeting is rigid because it is based on annual planning, budgeting, and fixed targets, which are only approved once. As a result, institutions cannot respond quickly to changes in the environment, including emerging threats and opportunities (Player, 2009: 3; Creelman, 2012: online; Hope and Player, 2012: 22).

Second, line item budgeting entrenches the command-and-control management style through central controls by the Ministry of Finance or Treasury and the concerned Ministry's headquarters (Daum, 2003: online; Creelman, 2012: online). Budgetary controls are inimical to performance management because they reinforce bureaucracy and centralised planning and thereby stifling innovation, creativity and flexibility (Daum, 2003: online; Witzel, 2012: 12). Furthermore, budgetary controls are inimical to the performance management philosophy which promotes decentralisation, empowerment of managers, and more flexible, adaptive and integrative systems (Creelman, 2012: online).

Third, line item budgeting makes it difficult to link budgets with strategy. Budget allocations tend to be skewed towards institutional functions and departments rather than strategic initiatives, goals and objectives which encourages departmental silos (Creelman, 2012: online; Hope and Player, 2012: 57). Fourth,

it emphasises compliance with input appropriations rather than inputs of performance management information such as productivity and value creation (Pollitt, 2001: 18; Witzel, 2011: online).

Fifth, it encourages gaming and dysfunctional behaviours such as setting lowest performance targets that are easily attainable to get performance rewards and hide performance shortcomings and failures, and spending the entire budget at the end of the financial year to avoid budget cuts in the next financial year. The focus on meeting the performance targets or hitting the numbers stifles innovation and creativity by making individuals and institutions to fear taking risks such as setting challenging and stretching performance targets. The end result is that institutions end up managing numbers rather than adapting to emerging threats and opportunities (Daum, 2003: online; Fryer, Antony and Ogden, 2009: 486; Player, 2009: 4; Marobela and Mawere, 2011: 5317; Creelman, 2012: online; Hope and Player, 2012: 32).

Sixth, line item budgeting has a cost escalator embedded in it because budget allocations are usually adjusted upwards by a certain percentage and managers frequently inflate their budget estimates expecting that budget requests will be trimmed (Creelman, 2012: online). In conclusion, it is worth mentioning that line item budgeting system is identified as one of the main causes of implementation failures of change management programmes, including performance management system (Daum, 2003: online). The critics of line item budgeting recommend rolling/continuous forecasts or planning which uses a range of indicators such as peer-group performance (best-in-class performance), internal and external benchmarks, and market improvements to evaluate performance (Hope and Player, 2012: 34).

To address the problems of line item budgeting, the Botswana public service introduced the integrated results based management approach into national development planning during the tenth national development plan which runs from 1 April 2009 to 31 March 2016 to emphasise achievement of agreed results or outcomes, value addition and impact.

#### **5.2.3.1 Integrated results based management approach**

The integrated results based management approach was introduced to strengthen linkages between strategic planning, budgeting, the personnel performance system, monitoring and evaluation system, management information system, and electronic government support system. The integrated results based management approach is made up of six components, namely the integrated development planning system; integrated results based budgeting system; integrated personnel performance system; integrated monitoring and evaluation system; integrated management information system; and electronic government support system (Republic of Botswana, The Draft National Development Plan 10, 2009a: 27).

The first key component of the integrated results based management is the integrated development planning system. It is based on outcome-focused planning which is used to map out the national development priorities and key result areas to be achieved for all the national development plan programmes and projects. The identified key result areas are results-oriented and cover all levels from national, sectoral, ministerial, departmental, divisional and individual (Republic of Botswana, The Draft National Development Plan 10, 2009a: 27).

The second critical component of the integrated results based management is the integrated results based budgeting system. Under the integrated results

based budgeting system, financial resources are allocated on the basis of outcomes or results to be achieved, programme costs are matched with programme results, and comparative assessments are conducted on programme efficiencies, effectiveness and relative worth or importance in delivering the desired results or outcomes. The primary aim of integrated results based budgeting is to ensure value for money in the provision of public services (Republic of Botswana, The Draft National Development Plan 10, 2009a: 28).

The third essential component of the integrated results based management approach is the integrated personnel performance system. Under this approach, the personnel performance system is integrated into the overall programme performance system. That is, employee's performance is aligned to institutional performance at all levels and to the achievement of programme results (Republic of Botswana, The Draft National Development Plan 10, 2009a: 28).

The fourth critical component of the results based management approach is the integrated monitoring and evaluation system. First, the integrated monitoring and evaluation system was introduced to ensure that performance monitoring, evaluation and reporting mechanisms are strategically woven into the whole performance management framework of the Botswana public service. Second, the integrated monitoring and evaluation system was introduced to ensure rigorous and regular performance monitoring, evaluation and reporting on the results to be achieved at all levels. Lastly, it was introduced to improve service quality, accountability, efficiency and effectiveness of the Botswana public service by continuously monitoring employee performance and implementation of policies, programmes and projects (Republic of Botswana, The Draft National Development 10, 2009a: 28).

The fifth key component of the integrated results based management approach is the integrated management information system. The integrated management information system will provide timely, comprehensive, accurate and reliable performance information on a regular basis to support and improve decision-making at both policy and programme implementation levels. The sixth and last critical component of the integrated results based management approach is the electronic government support system. The electronic government support system will provide the necessary information and communications technology infrastructure and systems such as the Web, Internet, digital technology, electronic mail and mobile telephone to provide electronic or online public services and improve policy and programme co-ordination, decision-making, information management and information sharing, monitoring, evaluation and reporting processes. Its aim is to ease access to public services and improve public service delivery and responsiveness by automating administrative processes and providing faster and cheaper means of communicating with customers/citizens and stakeholders (Republic of Botswana, The Draft National Development Plan 10, 2009a: 28, Republic of Botswana, State of the Nation Address 2010a: 5).

As part of the e-government programme, in March 2010, the Botswana government introduced automated Passport and Border Control System, and the Immigration and Citizenship System, to facilitate the issuance of machine readable electronic or e-passports and visas. Plans are underway to introduce an integrated Electronic Identity Management System to produce electronic national identity cards (Republic of Botswana, State of the Nation Address 2010a: 7).

#### 5.2.4 Performance agreement system

The Botswana public service performance appraisal system was reviewed after the implementation of the performance management system in July 1999. Two new systems of performance appraisal were introduced into the Botswana public service on 1 April 2004. These were the performance agreement system for executive officers (permanent secretaries, deputy permanent secretaries, and directors), and the performance based reward system for non-executive officers (all officers below the position of director). As indicated in Chapter Two (see *supra* 2.7.1), performance appraisal systems are considered as prerequisites and critical components of any effective performance management system.

Prior to 1 April 2004, the executive officers of the Botswana public service were not subjected to performance evaluations<sup>17</sup>. They had security of tenure and were employed on permanent and pensionable basis. The executive officers of the Botswana public service first signed their performance agreements on April 2004 (Republic of Botswana, State of the Nation Address, 2004c: 10). Following the introduction of the performance agreement system, permanent secretaries are employed on five-year contracts with an option for renewal or extension depending on satisfactory performance (Bashe and Jongman, 2006: 27).

The performance plan of the Botswana public service runs from 1<sup>st</sup> April to 31<sup>st</sup> March every year, and is tied to the performance management system cycle and the financial cycle. The following activities are performed during the performance plan. On 1<sup>st</sup> April, a new financial year and performance management system cycle begins. New performance agreements for executive officers, and

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<sup>17</sup> According to the Commonwealth Secretariat (2010: 8), executive officers of the Ghanaian public service were also not subjected to performance appraisal until performance contracting or performance agreement system was introduced in 1997. Malawi introduced the performance contract system for senior public servants in 2001 (Commonwealth Secretariat, 2010: 21).

performance and development plans for non-executive officers commence. New annual performance plans are implemented (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 8; Republic of Botswana, Public Service Management Directive Number 7 of 2004d: 1; Mothusi, 2008: 41).

In May, performance rewards for the previous year's performance are awarded (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 8). According to the Commonwealth Association for Public Administration and Management (2008: 36), annual awards ceremonies are important because they act as motivators for increasing the level of productivity and performance within the public service. In June, first quarterly performance reviews are conducted. The second, third and fourth quarterly performance reviews are conducted in the months of September, December, and March, respectively.

An employee is eligible for assessment only if he or she has performed under the existing performance plan for a minimum period of three months (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 14, Nyamunga, 2006: 14). Botswana public service medals are awarded at the Independence Day ceremony on 30 September. In November, government ministries and independent departments are informed of indicative budget and manpower estimates. In March, new performance agreements for executive officers, and performance and development plans for non-executive officers are agreed upon for the next performance plan and financial year. Annual performance plans are finalised (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 8).

Executive officers are assessed in terms of delivery of the core mandate of the government ministry or independent department and the achievement of internal corporate management objectives such as financial and human resource management; internal process improvement; information management; use of information and communications technologies; level of innovation and creativity; responsiveness to customer needs; implementation of anti-corruption measures; institutionalisation of the Botswana Public Service Charter and institutional values; and personal development (Nyamunga, 2006: 14; Monnaesi, 2011: 29). As recommended by Markowich (1994: 25) and Allan (2014: online), the performance agreement system of the Botswana public service uses objective and observable criteria (in this case performance results or outcomes) to assess staff performance.

The implementation of the performance agreement system of the Botswana public service was underpinned by the following seven professional and ethical principles:

- **Impartiality:** Executive officers (permanent secretaries, deputy permanent secretaries, and directors) should be assessed neutrally and independently without any political interference from Cabinet ministers or any other political appointees.
- **Fairness:** performance reviews for executive officers should be held regularly to ensure that the appraisal system is applied fairly, consistently, and uniformly within the Botswana public service. The assessment of executive officers should be based on merit, and not on race or ethnicity, gender and age.
- **Transparency:** executive officers should have access to all the information used to assess their performance and be allowed to make their own comments.



- Integration: performance agreements should be aligned (integrated) with other human resource management processes and systems to form a comprehensive and holistic performance management system.
- Consistency: the performance ratings will be applied in the same way (consistently) across the Botswana public service.
- Training: executive officers will be trained in performance management, and this training will form part of induction, coaching and executive development programmes.
- Professional development: the assessment process will have a component that focuses on the training and development needs of the executive officers with the objective of fostering a culture of continuous professional development (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 5 – 6).

The performance agreement system of the Botswana public service has an appeal mechanism which is meant to ensure transparency and protection from unfair assessment and/or arbitrary treatment. An executive officer may lodge an appeal if he or she had been denied access to the information used to assess him or her, or had not been granted an opportunity to comment. However, there is no appeal to be made on the performance assessment outcome. Directors and deputy permanent secretaries can appeal to the Permanent Secretary to the President while permanent secretaries have a right of appeal to the President of Botswana. Where an appeal on the grounds of process is successful, the assessment will be redone following the right process (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 16).

### **5.2.5 Performance based reward system**

The performance based reward system is defined as a performance appraisal system through which an institution sets performance objectives for its employees, assesses the achievement of stated performance objectives, and awards performance rewards as per performance ratings attained. The Botswana public service also uses the performance based reward system as a reward system (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 15). The performance based reward system replaced the annual staff performance appraisal system which was outdated, subjective, confidential and retrospective (Republic of Botswana, Public Service Management Directive Number 7 of 2004d: 1; Dzimbiri, 2008: 46; Mothusi, 2008: 41). The Revised National Policy on Incomes, Employment, Prices and Profits of 1990 recommended a review of the annual staff performance appraisal system to introduce performance rewards so as to improve Botswana public service efficiency and effectiveness, productivity and discipline (Kiragu and Mukandala, 2003: online).

The primary purpose of the performance based reward system was to introduce an objective and transparent performance appraisal system that assessed individual performance regularly and linked individual performance objectives with departmental and institutional objectives and performance with rewards and sanctions. Under the annual staff performance appraisal system, performance appraisals were conducted once in a year; individual performance objectives were not aligned with departmental and institutional objectives and career progression, pay and promotions were not based solely on merit and performance but also on seniority or long service and systems of automatic pay increments, automatic "in-grade" salary increases and automatic promotions based on the number of years in a grade (Republic of Botswana, A Framework

for Long Term Vision for Botswana: Presidential Task Group for a Long Term Vision for Botswana, 1997c: 35; Hope, 2002: 533; Hope, 2003: 304; Bashe and Jongman, 2006: 26; Dzimbiri, 2008: 46; Nkhwa, 2008: 12).

In a nutshell, the performance based reward system of the Botswana public service was introduced to replace systems of automatic pay increments, automatic "in-grade" salary increases and automatic promotions with performance-based management systems that rely on merit, proven ability and recognised competence. For example, automatic "in-grade" salary increases of the Botswana public service were replaced by annual performance pay increments (Republic of Botswana, Budget Speech 2007a: 28).

It was envisaged that the performance based reward system would improve and sustain employee performance by rewarding good performance that meets or exceeds expectations. It was also expected that the system would foster a work environment that uses rewards rather than discipline (sanctions) to manage both employee behaviour and performance. In this regard, positive reinforcement was viewed as critical to build a highly motivated and performing workforce (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 3; Republic of Botswana, Draft Rewards Menu and Administration Guidelines, not dated: 6; Commonwealth Secretariat, 2010: 18). According to the Commonwealth Secretariat (2010: vii), many African public services have no appropriate mechanisms in place to identify, utilise and reward top performers. The Commonwealth Secretariat (2010: 49) further observed that few African public services have linked performance rewards and sanctions to the attainment of performance targets.

The performance based reward system of the Botswana public service is used to assess non-executive officers against set performance objectives and personal

attributes. The overall performance rating for the achievement of performance results or objectives is 80% while personal attributes get the remaining 20%. The evaluation of personality traits is based on work-related behaviours or work results as recommended by Lawler III (1994: 17) and Allan (2014: online). The eight personal attributes that are assessed are:

- Time management: this is assessed in terms of how the officer observes time, for example keeping appointments, punctuality at work and meetings, and meeting work deadlines.
- Knowledge of work: this is assessed in terms of how the officer knows the purpose, processes, and practice of the job.
- Work output: this is assessed in terms of accuracy, reliability and speed.
- Customer care: this is assessed in terms of how the officer demonstrates value based customer focused initiatives such as *botho* (courtesy, humaneness, and humility).
- Teamwork: this is assessed in terms of how the officer participates in, supports and promotes team efforts and how the officer works with co-workers.
- Initiative: this is assessed in terms of the number of initiatives undertaken by the officer resulting in work accomplishments.
- Supervisory abilities: managers or appraisers are assessed on how they guide supervisees or appraisees to get performance results.
- Managerial performance: managers or appraisers are assessed on their abilities to plan, organise, direct activities, and manage resources (Republic of Botswana, Performance Based Reward System Performance and Development Plan and Review Document (Form DPSM 6), 2004e: Part D).

Both the performance agreement system and the performance based reward system of the Botswana public service have five levels of performance ratings. These are:

1. Level 1 (outstanding, 95 – 100%): Performance results meet and exceed all set targets. Employee is an exceptional performer and consistently meets all performance targets. The employee occasionally makes significant contributions beyond agreed targets or responsibilities and requires very little supervision.
2. Level 2 (very good, 80 – 94%): Performance results meet most set targets. Employee consistently meets most performance targets, and is a competent performer and requires very little supervision.
3. Level 3 (satisfactory or good, 65 – 79%): Performance results are above average targets. Employee exhibits reasonable level of competence and requires occasional support.
4. Level 4 (fair, 50 – 64%): Performance results meet at least half (average) of the targets. Employee requires continuous general support to improve performance within a designated period.
5. Level 5 (unsatisfactory, 49% and below): Performance results are below average. The employee displays unacceptable performance and needs focused support to improve performance within a designated period. The employee will be denied salary increment.
6. Unable to rate: The employee cannot be rated due to extenuating circumstances beyond control, for example, the employee is on study, maternity, sick and work injury leave, facing an interdiction or has

performed less than three months' service (Republic of Botswana, Performance Based Reward System Performance and Development Plan and Review Document (Form DPSM 6), 2004e: Part E).

All the above five levels of performance ratings except level 5 of unsatisfactory performance qualify for salary increment. Furthermore, levels 1 and 2 also qualify for non-monetary rewards to be selected by the employee from the rewards menu. Non-monetary rewards included, *inter alia*, merit rewards; gold and silver medals; lunch with family arranged and paid for by the government; paid local trip to travel with spouse or family member; vouchers to buy items of one's choice; health and recreational subscriptions for six to twelve months; and paid time-off (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 16; Republic of Botswana, Draft Rewards Menu and Administration Guidelines, not dated: 17 - 18).

The following rewards were discretions of managers: letters of commendation or appreciation; certificate of accomplishment; public recognition in government ministry newsletters and other communication media; and assignment of new duties to challenge employees. Sanctions for under-performance included reprimand, demotion and termination of service (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 16; Republic of Botswana, Draft Rewards Menu and Administration Guidelines, not dated: 19).

Performance rewards for executive officers included, among other things, a letter of commendation; a Ministry internal recognition ceremony, which might include a function and plaque or trophy; a service-wide award such as the Permanent Secretary to the President Award for Executive Officers who made outstanding contributions; the President's Public Service Medal, awarded at Independence

Honours ceremony to recognise exemplary, sustained, public service of the highest order by public servants of any rank (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 17; Republic of Botswana, Draft Rewards Menu and Administration Guidelines, not dated: 19).

The five levels of performance ratings are beyond the recommended number. Authors such as Antonioni (1994: 31); Glendinning (2002: 166); and Allan (2014: online) recommended that performance appraisal systems should preferably have three categories of performance ratings, namely exceptional or outstanding, good or fully competent and unacceptable or unsatisfactory. According to Antonioni (1994: 36) and Glendinning (2002:166), the three categories of performance ratings are recommended because most appraisers can accurately identify their top and poor performers (the highest and lowest 10%), and the other employees (80%) will accept to be classified as “fully competent” in the middle category. A few or many categories of performance ratings create the classic forced distribution problem that results in arbitrariness which causes employee resentment and frustration (Antonioni, 1994: 35; Lawler III, 1994: 16; Allan, 2014: online).

The implementation of the performance based reward system and performance agreement system of the Botswana public service was guided by the following five professional and ethical principles:

- Accountability: the Directorate of Public Service Management reduced central administrative controls over government ministries and independent departments by delegating human resource responsibilities and authorities to the latter so that they can be held fully accountable for matters pertaining to employee performance and performance management.

- Collaboration: supervisors and supervisees were encouraged to build a collaborative relationship and to promote teamwork and consensus in order to improve institutional performance.
- Excellence: supervisors and supervisees were encouraged to continuously improve their performance levels and performance standards, and to tackle performance barriers and bottlenecks.
- Professional growth: supervisors and supervisees were encouraged to continuously learn and acquire new skills, knowledge and abilities necessary to perform in their current jobs and planned career progression.
- Transparency: managers were encouraged to make administrative decisions based on openness (transparency), honesty, objective targets and high standards of integrity and professionalism (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 4 - 5).

#### **5.2.6 Business process re-engineering**

Business process re-engineering is concerned with developing more efficient work processes or operations by eliminating non value-adding activities (Niven, 2003: 128). In March 2006, the Botswana public service introduced business process re-engineering to improve public service delivery by making government business processes more customer-focused rather than internally focused; removing unnecessary processes and operational bottlenecks; setting customer service standards; and using information and communication technologies in the delivery of public services (Nkhwa, 2008: 9; Commonwealth Secretariat, 2010: ix). It was introduced out of realisation that inefficient processes were an impediment to public service delivery (Nyamunga, 2006: 15).



Business process re-engineering assists to demonstrate quick wins and noticeable performance results to sustain the implementation of the performance management system (Bashe and Jongman, 2006: 31). In 2008, 193 Botswana public service processes had been re-engineered and this has resulted in a 60% improvement in public service delivery. Notable public service delivery improvements had been recorded in processing times of applications for passports and registration of companies. The processing time for a passport was reduced from three months to five days while the registration of a company was reduced from thirty days to ten days (Nkhwa, 2008: 10). For health services, waiting periods for specialist care was reduced from twelve weeks to six weeks, waiting time at emergency departments of the referral hospitals was reduced from sixty minutes to thirty minutes, and major emergencies such as road accidents have no waiting time at all (Republic of Botswana, State of the Nation Address 2010a: 41).

#### **5.2.7 Performance monitoring systems**

Performance monitoring systems are a core component of the performance management system (Institute of Development Management Consortium, 2006: viii). According to Dzimbiri (2008: 51), performance monitoring systems provide policy-relevant knowledge about the implementation and consequences of the adopted social intervention programme and thereby assist policy-makers and implementers to determine whether implementation is according to plan, identify implementation challenges and unintended consequences and suggest corrective measures. The Botswana public service uses performance logs, checkpoint meetings, performance reviews, Cabinet retreats, annual public service conventions, and customer feedback systems to monitor performance.

### **5.2.7.1 Performance log**

To track performance, a supervisor is expected to keep a performance log which is a journal or any form of record keeping that the supervisor keeps to record performance information pertaining to the supervisee. A performance log records performance observations; changes in performance objectives and development objectives; changes in work priorities; changes in training and development needs; new instructions or directions; performance improvements and shortcomings; performance opportunities, barriers and bottlenecks; positive and negative performance feedback provided to the supervisee; key performance decisions made with the supervisee; work accomplishments and problems; and performance interventions made (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 12).

The supervisee, on the other hand, is supposed to undertake self-assessment by keeping records on performance objectives and development objectives, and accomplishments thereof; career objectives and accomplishments (for example, published work and volunteer work); performance barriers and bottlenecks and recommendations to rectify them; testimonials or comments of good performance; performance feedback, supervision, support and coaching received from the supervisor; changes in career objectives; and additional assignments, projects, and job responsibilities (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 13).

A performance log is a useful instrument to monitor performance by keeping a record on job performance; providing performance feedback, coaching, career support, guidance and direction, training and development; noting factors that facilitate and hinder the achievement of performance objectives and development objectives; noting the supervisee's potential, strengths and

weaknesses; and devising means to address performance shortcomings, barriers and bottlenecks (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 12).

#### **5.2.7.2 Checkpoint meetings**

Checkpoint meetings involve an exchange of information (dialogue) between the supervisor and the supervisee to discuss progress in relation to the achievement of performance objectives and development objectives as well as factors affecting job performance (performance opportunities, barriers and bottlenecks). Ideally, checkpoint meetings should be held at least once a week, and last from five minutes to over an hour. The purpose of the checkpoint meeting for the supervisor is to train, teach and guide the supervisee to perform as expected; provide immediate performance feedback, coaching and counselling; provide positive feedback or reinforcement for good performance or desirable behaviour; rectify performance shortcomings by addressing the supervisee's training and development needs, and solving problems affecting job performance (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 11 – 13). However, Nyamunga (2006: 12) observed that most supervisors lack coaching and counselling skills to effectively perform these roles. The supervisor should end the checkpoint meeting by providing a summary of what was agreed and what will be done next.

For the supervisee, the purpose of the checkpoint meeting is to seek guidance and direction from the supervisor on how to achieve the agreed performance objectives and development objectives; to discuss or inform the supervisor of factors affecting job performance such as workload, work processes, procedures and priorities; and to request and submit his or her training and development needs. In cases where performance barriers and bottlenecks have been

identified, the supervisor has to inform the supervisee how he or she will address them (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 12).

Both the supervisor and the supervisee have to agree on how performance objectives will be monitored and the frequency and nature of checkpoint meetings. The supervisor has to discuss with the supervisee the criteria and consequences of performance that exceeds performance expectations and that which falls below performance expectations. Checkpoint meetings are held in between the performance reviews (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 12 - 13).

#### **5.2.7.3 Performance Reviews**

Performance reviews are used in the Botswana public service to track actual performance against set performance objectives. The Botswana public service conducts quarterly performance reviews in the months of June, September, December and March. Regular performance reviews assist public service managers to identify high performers and low performers, areas of deficiencies and to take appropriate and timely action to rectify them (Mothusi, 2008: 40).

According to the literature review, the conduct of effective performance reviews in the Botswana public service is constrained by inadequate coaching and counselling skills by public service managers. In particular, middle and junior public service managers lack the requisite skills to conduct effective performance reviews, especially dealing with unsatisfactory performance (Nyamunga, 2006: 13). Although performance reviews should be conducted quarterly, and annual performance plans reviewed quarterly, they are not yet fully institutionalised in the Botswana public service because they are still irregular (Republic of

Botswana, Performance Based Reward System Framework and Guidelines, 2004b: 8; 11; Nyamunga, 2006: 19).

#### **5.2.7.4 Cabinet retreats**

The Botswana public service holds annual retreats for Cabinet and permanent secretaries to review and reflect on the performance of the public service during the performance plan and to agree on the priorities for the next performance plan. These retreats are also attended by heads of strategic state-owned enterprises or parastatals (Nyamunga, 2006: 18). Apart from Cabinet retreats, annual public service conventions are used to monitor the performance of the Botswana public service.

#### **5.2.7.5 Annual public service convention**

This is an annual event that provides a platform for government ministries and independent departments to reflect on their performance, showcase and share experiences, ideas and best practices, benchmark, and to raise productivity and quality awareness (Nyamunga, 2006: 16). The Botswana public service convention started as a platform for showcasing the use of the work improvement teams' concept, tools and methods, and sharing innovations and breakthroughs. The Botswana public service convention is normally held for three days and attended by delegates from other African public services for benchmarking purposes (Botswana Press Agency, 2007: 1).

#### **5.2.7.6 Customer feedback systems**

The Botswana public service introduced customer feedback systems such as call centres with toll free numbers, complaints and suggestion boxes, customer

satisfaction surveys, and radio phone-in programmes such as “Talking Heads” and “*Tokafatso Maduo*” (which means improving performance results), to promote greater interaction with the general public and to obtain feedback about the quality of public service delivery (Republic of Botswana, State of the Nation Address, 2004c: 11; Bashe and Jongman, 2006: 25; Nyamunga, 2006: 15; Commonwealth Secretariat, 2010: ix). Customer service standards were also introduced in the Botswana public service to raise standards of public service delivery and service quality. To ensure timely delivery of public services, customer service standards stipulate turnaround times within which public services should be delivered (Mothusi, 2008: 152).

Two customer satisfaction surveys were conducted in 2005 and 2009 to assess the performance of the Botswana public service. The overall customer satisfaction level for the 2005 Botswana Customer Satisfaction Survey was 25% indicating unsatisfactory public service delivery. This score was far below the 75% international benchmark (Mothusi, 2008: 49; Commonwealth Secretariat, 2010: 16; Monnaesi, 2011: 38). The score for the 2009 Botswana Public Service Customer Satisfaction and Staff Perception Surveys was a 27% customer satisfaction level, representing a modest increase of 2 per cent from the 2005 survey (De Chazal Du Mée Economic and Management Consultants, 2009: 12; Monnaesi, 2011: 38). De Chazal Du Mée Economic and Management Consultants, was the consultancy firm that conducted the Botswana Public Service Customer Satisfaction and Staff Perception Surveys between February and April 2009 (De Chazal Du Mée Economic and Management Consultants, 2009: 5).

### 5.2.8 Evaluation systems

The Botswana public service conducted two evaluations of the implementation of the performance management system. The first evaluation which was conducted after two and half years into the implementation of the performance management system was undertaken by the auditing firm, Ernst & Young, in 2002. This was a mid-term evaluation which found that the implementation of the performance management system was generally well on course (Republic of Botswana, National Development Plan 9, 2003a: 367; Institute of Development Management Consortium, 2006: vi; Mothusi, 2008: 43). However, there were challenges that hindered effective and focused implementation of the programme.

First, due to entrenched paradigms, mindset and work ethics, not all heads of government ministries and independent departments were enthusiastic about the implementation of the performance management system in the Botswana public service (Bakwena, 2003: 5; Bashe and Jongman, 2006: 26; 29; Institute of Development Management Consortium, 2006: 42; Laking and Norman, 2007: 522; Skelemani, 2007: 16; Dzimbiri, 2008: 53). Some public service leaders thought the performance management system was destined to fail and this slowed down its implementation (Republic of Botswana, National Development Plan 9, 2003a: 367).

Second, its implementation created anxiety and resistance to change as it unsettled the political leadership, chief executive officers, consultants and the change agents alike. There was uncertainty about the performance management system and its new concepts, techniques, systems and processes (Bashe and Jongman, 2006: 32; Institute of Development Management Consortium, 2006: 67; Dzimbiri, 2008: 53). At the time the performance management system was

implemented, there was inadequate understanding within the Botswana public service about the integration of previous performance improvement programmes within the performance management system framework. Consequently, there was confusion, frustration and misunderstanding about the implementation of the performance management system with the previous performance improvement programmes, in particular with work improvement teams. As a result, it was a challenge for the Botswana public service to widely accept the implementation of the performance management system (Bashe and Jongman, 2006: 31; Institute of Development Management Consortium, 2006: 41; Washington and Hacker, 2009: 4).

To overcome resistance to change, the Botswana public service sent its officers to institutions in the United States of America such as the Performance Centre, and Transformation Systems International for training in Change Agent Training and Leadership Strategies Programme (CATALYST), Focused Leadership Programme (FLEX), Transformational Coaching Certification Programme, mindset change and system thinking programmes (Nyamunga, 2006: 16; Chirairo, 2008: 1; Nkhwa, 2008: 12; Scher, 2009b: online; Lute, 2010: 2).

Third, government ministries and independent departments lacked the necessary experience and expertise to embark on a major reform such as the performance management system (Bashe and Jongman, 2006: 29; Laking and Norman, 2007: 527; Dzimbiri, 2008: 53). According to Bashe and Jongman (2006: 30) and Washington and Hacker (2009: 6), the Botswana public service did not have the requisite numbers and calibre of chief executive officers to effectively implement the performance management system. The Public Service Reforms Unit which was established in June 1998 as a new division within the Directorate of Public Service Management to integrate, co-ordinate and spearhead the implementation of public service reforms, including the performance management system, was



inexperienced, understaffed and lacked high-level technical and professional expertise to provide the necessary backstopping support to the performance improvement co-ordinators (Institute of Development Management Consortium, 2006: ix; 90; Marobela, 2008: 430).

In addition, the Botswana National Productivity Centre which was awarded a five-year contract to roll-out the performance management system in the Botswana public service had little or no practical experience of implementing a reform of this magnitude (Bashe and Jongman, 2006: 30 - 31; Institute of Development Management Consortium, 2006: 72 - 73; Dzimbiri, 2008: 53). According to Bashe and Jongman (2006: 31), Botswana National Productivity Centre consultants and other local management consultants were deliberately used even though inexperienced in order to build consultancy capacity and retain consulting skills and knowledge within the country.

The Botswana National Productivity Centre was assisted in the roll-out of the performance management system by the American Consultancy Group called the Performance Centre (Dzimbiri, 2008: 48). The Botswana National Productivity Centre consultants were trained by external consultants from institutions such as the Singaporean Productivity Standards Boards (now known as Spring Singapore) to have the requisite skills and knowledge to implement the performance management system (Dzimbiri, 2008: 50). External consultants were used because management consultancy practice in Botswana is still relatively at infancy stage compared to auditing or accounting and tax practice (Gbadamosi, 2005: 1136 – 1137). Due to the limited number of chief executive officers with the requisite skills, experience and expertise to effectively implement the performance management system, and the inexperience of the Botswana National Productivity Centre consultants and other local management

consultants, the Botswana public service opted for a gradual approach to change (Bashe and Jongman, 2006: 30).

Fourth, at the time when the performance management system was implemented, it received little support from political leaders and the general public. It was difficult to convince the public about the usefulness and effectiveness of the performance management system in improving the delivery of public services (Bashe and Jongman, 2006: 30 - 31; Institute of Development Management Consortium, 2006: 68; Laking and Norman, 2007: 526; Nkhwa, 2008: 20). The general public and Botswana Parliament thought the performance management system like other previous performance improvement programmes would not make any significant impact on public service delivery.

Due to lack of political and public support the Botswana Parliament reluctantly approved the performance management system budget of 27 million pula, an equivalent of 5.5 million United States of America dollars (Bashe and Jongman, 2006: 24). According to Dzimbiri (2008: 54), the funding that was allocated was inadequate to complete the design of the performance management system and to provide implementation support. Fifth, government ministries and independent departments encountered challenges with the application of performance measurement systems such as the balanced scorecard (Republic of Botswana, National Development Plan 9, 2003a: 367).

The second evaluation was undertaken by the Institute of Development Management Consortium in late 2004 (Mothusi, 2008: 44). This was a terminal evaluation which covered the conceptualisation, design, installation and implementation phases of the performance management system as well as its relevance, efficiency and effectiveness (Institute of Development Management Consortium, 2006: vi; 4). The evaluation by the Institute of Development

Management Consortium (2006: vi - vii) concluded that the implementation of the performance management system in the Botswana public service had reached a critical phase, was at crossroads and stage of maturation.

It identified the following as some of the positive gains of the performance management system in the Botswana public service: emergence of an embryonic core of public service managers and officers at different levels committed to the performance management system philosophy; emergence of a culture of strategic planning, consultation and teamwork; and recognition of the importance of performance planning, measurement, monitoring and management; stakeholder and customer orientation; and leadership driven transformation. Other additional positive gains included the following: increased accountability of public officers and government ministries and independent departments because of the introduction of performance reviews; creation of strategic focus and direction of the Botswana public service; introduction of strategic plans and annual performance plans; introduction of performance measures and targets; introduction of performance appraisals that were objective and performance-based; widespread use of performance plans throughout the Botswana public service; and improved work performance, quality and efficiency because of results-orientation and customer-orientation (Institute of Development Management Consortium, 2006: 12; Nyamunga, 2006: 2). In his State of the Nation Address of November 2010, President Khama commended the Botswana public service for improved service delivery across the board (Republic of Botswana, State of the Nation Address 2010a: 17).

The evaluation by the Institute of Development Management Consortium also identified the following as pitfalls that might stall the implementation of the performance management system. First, the realignment of the performance management system from just a public service reform to a public sector reform.

Second, lack of integration and alignment of the performance management system with the national planning and budgeting processes and other human resource management policies and processes. Third, centralisation of budget allocation and expenditure authority limited the ability of government ministries and independent departments to develop outcome-based targets. Full authority and accountability for budget management is the responsibility of the Ministry of Finance and Development Planning (Institute of Development Management Consortium, 2006: 12).

Fourth, lack of rationalisation of institutional responsibility for public service reform and integration of political leadership accountability for the delivery of public services. There was lack of clarity of the role of the Permanent Secretary to the President, the Minister for Presidential Affairs and Public Administration and the office of the Vice President regarding accountability for the performance management system (Institute of Development Management Consortium, 2006: 12).

Fifth, lack of cause-effect link between strategic plans, national development plan and vision 2016. Sixth, the performance management system was perceived as an end in itself rather than a means to an end. It also emphasised form over substance. Seventh, a lot of documentation was required for performance reporting and review. Eighth, failure by some government ministries and independent departments to customise the performance management system to suit their unique environments. Finally, non-provision of financial and non-financial rewards envisaged under the performance based reward system (Institute of Development Management Consortium, 2006: 12).

The Institute of Development Management Consortium (2006: vii) concluded that if the above pitfalls were addressed, the performance management system

was on track of becoming a critical, relevant and practical tool to facilitate higher levels of efficiency and effectiveness, performance and service delivery. In this context, the Institute of Development Management Consortium (2006: viii) recommended the accelerated decentralisation of expenditure authority, realignment of the national planning process with the performance management system cycle, adoption of outcomes-based approach and the introduction of outcome-based multi-annual budgets to replace incremental and annual budgeting cycles.

### **5.3 CONCLUSION**

This chapter explained the nature and content of the performance management system of the Botswana public service. As indicated in this chapter and in Chapter Two and Chapter Four, the performance management system framework is integrated or holistic in nature and has different components. The performance management system of the Botswana public service has eight main components, namely vision, mission and values; balanced scorecard; line item budgeting system; performance agreement system; performance based reward system; business process re-engineering; performance monitoring systems and evaluation systems.

The vision, mission and values are a *sine qua non* of the performance management system because they act as strategic enablers of institutional performance, building blocks for strategy, balanced scorecard and a high-performance culture, guide decision-making and innovation, and inspire employees and stakeholders. The balanced scorecard is another critical component of the performance management system, which is used as a strategic planning, performance measurement, management and reporting tool. It is used to implement strategy, to provide strategic focus and direction, and to promote

strategic management by closing the gaps between strategy formulation and implementation and by linking budgeting and performance rewards with strategy.

Line item budgeting system is the third critical component of the performance management system of the Botswana public service. The integrated results based management approach was introduced on 1 April 2009 to address some of the limitations of line item budgeting such as lack of focus on performance outcomes or results, rigidity of annual planning, budgeting and fixed targets and the disconnect between performance planning, management, monitoring, evaluation, reporting and budgeting. Integrated results based management strengthens linkages between the national development planning system; results based budgeting system; personnel performance system; monitoring and evaluation system; management information system; and electronic government support system.

The fourth critical component of the performance management system of the Botswana public service is the performance agreement system, which is a performance appraisal system for executive officers (permanent secretaries, deputy permanent secretaries and directors). The fifth key component is the performance based reward system, which is a performance appraisal system for non-executive officers (all officers below the position of director). Performance appraisal systems are prerequisites and essential components of any effective performance management system.

Business process re-engineering is the sixth critical component of the performance management system, which was introduced to improve public service delivery by removing unnecessary government business processes that are non value-adding; making business processes more customer-focused rather

than internally focused; setting customer service standards; and using information and communications technologies to deliver public services.

The seventh critical components of the performance management system are performance monitoring systems. These are essential components of the performance management system that assist policy-makers and implementers to track performance, determine whether the implementation of the programme is according to plan; identify implementation challenges and unintended consequences of the programme and suggest corrective measures. The Botswana public service uses performance logs, checkpoint meetings, performance reviews, Cabinet retreats, annual public service conventions, and customer feedback systems to monitor performance.

The eighth and last critical components of the performance management system are evaluation systems. The Botswana public service conducted two evaluations of the implementation of the performance management system. The mid-term evaluation was conducted in 2002, while the terminal one was undertaken in late 2004. The mid-term evaluation found that the implementation of the performance management system was generally well on course, while the terminal evaluation concluded that the implementation had reached a critical phase, was at crossroads and stage of maturation.

The next chapter discusses the research design and research methodology used for this study. Methods used for sampling, data collection, analysis and interpretation will be discussed and justification provided for selecting them.

## **CHAPTER 6**

### **RESEARCH DESIGN AND METHODOLOGY**

#### **6.1 INTRODUCTION**

Chapter Five explained the nature and content of the performance management system of the Botswana public service. Chapter Six shifts the study from the theoretical aspects to the methodological aspects. It builds on the previous chapters that introduced the research topic or problem (see Chapter One), reviewed the literature on performance management (see Chapter Two), provided the analytical framework for this study (see Chapter Three), and discussed the origins, nature and content of the performance management system of the Botswana public service (see Chapters Four and Five).

The main aim of Chapter Six is to discuss the research plan for conducting the empirical study or field of inquiry. Firstly, it defines the concept of research design and the applicable concepts of the research design such as mixed methods research design, qualitative and quantitative research designs, research approach, paradigmatic perspective, philosophical assumptions, and research philosophy. Secondly, it defines the concept of research methodology. Research methodology covers research methods, research setting and unit of analysis, population and sampling, and data collection instruments. Thirdly, it explains the procedures followed to design and administer survey questionnaires. Fourthly, it discusses the measures used to establish trustworthiness of the study findings. Fifthly, it discusses the ethical principles that were followed to safeguard the rights of respondents. Finally, this chapter discusses the storage and destruction of research data.



The first step to take in conducting an empirical study is to choose a research design.

## **6.2 RESEARCH DESIGN**

According to De Vos and Fouché (1998: 96) and Babbie and Mouton (2001: 74), a research design refers to a plan or blueprint or strategy for conducting an empirical study. The research design is concerned about the planning of scientific inquiry or designing a strategy for investigating the research problem. It is a blueprint for achieving the research aims and objectives and answering the research questions (Bhattacharjee, 2012: 23). A research design is considered absolutely essentially to a researcher as is a building plan to a builder (De Vos and Fouché, 1998: 96).

Traditionally, there are two basic research designs that are used to conduct an empirical study, namely qualitative and quantitative research designs. Recently, a mixed-methods research design has gained prominence as an alternative to the qualitative and quantitative research designs (Creswell and Plano Clark, 2011: xix; Bhattacharjee, 2012: 37; Youngs and Piggot-Irvine, 2012: 184). This study used a mixed methods research design.

### **6.2.1 Mixed methods research design**

Mixed methods research is also known as the “third methodological movement” or “third research paradigm” because it emerged after quantitative and qualitative research, respectively (Creswell and Plano Clark, 2011: 1). Mixed methods research refers to a research design that combines both qualitative and quantitative approaches, methodologies, techniques and paradigms in a single

study in order to have an in-depth understanding of the research problem (Creswell and Plano Clark, 2011: 4 – 5; Perry, 2012: 127).

A mixed methods research design was selected for this study because of the following reasons. Firstly, it is best suited to answer research problems and research questions that may not be adequately studied using either quantitative or qualitative research alone (Creswell and Plano Clark, 2011: 2). The research problem or topic for this study deals with a complex and multi-dimensional concept of performance management system, which requires mixed or multiple methods to be adequately studied. Secondly, mixed methods research is suitable for studies that are undertaken for exploratory, descriptive and explanatory purposes (Creswell and Plano Clark, 2011: 9). This study serves all the three purposes of scientific research project (see *infra* 6.2.3).

Thirdly, mixed methods research is appropriate for studies that need a second research method to strengthen the primary research method, and use an analytical framework to organise and guide the study (Creswell and Plano Clark, 2011: 10). This study firstly collected data using questionnaires and later conducted follow-up personal interviews to clarify data or issues that were unclear from the self-administered questionnaire responses (see *infra* 6.3). As indicated in Chapter Three, this study used the model of social programmes as an analytical framework.

There are advantages of using mixed methods research. Firstly, mixed methods research leverages on the strengths of both quantitative and qualitative research to offset the weaknesses inherent in each approach (Creswell and Plano Clark, 2011: 12; Bhattacharjee, 2012: 24; Youngs and Piggot-Irvine, 2012: 187). Secondly, this approach gathers more evidence for studying a research problem than either qualitative or quantitative research alone because data collection is

not restricted to only one type of data. Mixed methods research uses multiple data sources to study research problems (Creswell and Plano Clark, 2011: 17). Thirdly, it assists in answering research problems or questions that cannot be adequately addressed using only one data source or perspective or by using quantitative or qualitative research alone. In this case, mixed methods research is used to compare and contrast, expand, complement, validate or refute study findings obtained using a different research method (Creswell and Plano Clark, 2011: 8; Perry, 2012: 129).

Fourth, mixed methods research bridges the divide between quantitative and qualitative research (Creswell and Plano Clark, 2011: 12). Fifth, it encourages researchers to use multiple perspectives or paradigms rather than sticking to those that are associated with either quantitative or qualitative research. This study used a multi-paradigmatic approach. It is based on the philosophical paradigm of post-positivism. It used the “insider/actor” or “emic” perspective and theories of programme implementation, organisation theories, employee motivation theories, and institutional theories to explain the studied phenomenon (see *infra* 6.2.4.2). Finally, mixed methods research is considered “practical” or “natural” because researchers normally use both quantitative (numbers) and qualitative (words) and inductive and deductive research to answer research problems (Creswell and Plano Clark, 2011: 13).

Mixed methods research has the following disadvantages. Firstly, it requires theoretical and methodological skills and knowledge and research experience with both quantitative and qualitative research, as well as mixed methods research. Secondly, a mixed methods study is time-consuming, labour-intensive and costly because it requires more time, effort and resources for data collection, analysis and interpretation. Finally, mixed methods research is not widely used by the academic community because it is still a relatively new research approach

and researchers often prefer to use either quantitative or qualitative research because of the methodological debates and philosophical tensions between the two research approaches. Other researchers believe that the two research approaches are incompatible and need to be convinced about the value and feasibility of mixed methods research (Creswell and Plano Clark, 2011: 13 - 15; Perry, 2012: 128 - 129).

#### **6.2.1.1 Characteristics of mixed methods research**

The core characteristics of mixed methods research are the following. It uses a mixture of qualitative and quantitative research designs and methods. It has both a methodological and a philosophical orientation. Its underlying philosophy is that a mixture of both qualitative and quantitative research approaches provides a better understanding of research problems than using a single research approach. It uses a mixture of both qualitative and quantitative approaches and methods for data collection, analysis, interpretation and reporting.

This study used the case study, evaluation research and survey method (see *infra* 6.3). It also used both qualitative and quantitative data collection instruments. The four data collection instruments that were used for this study were the literature review, document analysis, questionnaires, and follow-up personal interviews (see *infra* 6.3.4). Mixed methods research uses multiple or diverse perspectives to investigate the research problem. It uses both inductive and deductive research. It integrates or merges qualitative and quantitative data in a single study (Creswell and Plano Clark, 2011: 4 – 6; Perry, 2012: 127).

### **6.2.1.2 Mixed methods designs**

There are six major types of mixed methods designs, namely the convergent parallel, the explanatory sequential, the exploratory sequential, the embedded, the transformative, and multiphase. These designs are classified according to the reasons for mixing quantitative and qualitative research (design purpose); the research paradigm used (paradigm foundation); level of interaction of quantitative and qualitative data; level of priority given to the quantitative and qualitative data; timing of the quantitative and qualitative strands; primary point of interface for mixing quantitative and qualitative data; and primary mixing strategies for quantitative and qualitative data (Creswell and Plano Clark, 2011: 73 - 75; Perry, 2012: 127 - 128).

This study used the transformative design which is a mixed methods design that combines quantitative and qualitative data within a theoretical-based framework that guides the overall study (Creswell and Plano Clark, 2011: 96). As discussed in Chapter Three, this study used the model of social programmes as an analytical framework. The quantitative data and qualitative data were collected sequentially. Firstly, the researcher collected quantitative data using questionnaires and then conducted follow-up personal interviews to collect qualitative data. The model of social programmes was used to combine the two data sets. This study combined data analysis and interpretation (see Chapter Seven).

### **6.2.2 Qualitative and quantitative research designs**

A mixture of both qualitative and quantitative research design was chosen for this study.

#### **6.2.2.1 Qualitative research design**

A qualitative research design refers to a study that produces qualitative (non-numerical) or textual or descriptive data (Brynard and Hanekom, 1997: 29; Babbie and Mouton, 2001: 76; Bhattacharjee, 2012: 37). It is commonly concerned about interpretation and meaning (Morgan and Sklar, 2012: 72). A qualitative research design is frequently used to understand the perceptions of the respondents (Bell, 1993: 6). This study investigates the perceptions of senior management (Permanent Secretary, Deputy Permanent Secretaries, Directors, Ambassadors and High Commissioners), middle management (Deputy Directors, Minister Counsellors, Assistant Directors, and Counsellors) and junior management staff (Foreign Affairs Officers, First, Second and Third Secretaries) regarding the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. This study used qualitative research methodologies such as the case study method and evaluation research (applied social research) to collect both qualitative and quantitative data.

#### **6.2.2.2 Quantitative research design**

Quantitative research designs are designed primarily to collect quantitative (numerical) data such as scores and metrics, which allow the researcher to quantify or assign numbers or statistics to the observations (Bell, 1993: 5; Brynard and Hanekom, 1997: 29; Babbie and Mouton, 2001: 6). This study used quantitative research methodologies such as survey research to collect both quantitative data and qualitative textual or descriptive data from survey respondents. Quantitative techniques were used for data processing and statistical analyses (Babbie and Mouton, 2001: 368; Bhattacharjee, 2012: 37).

Social research is undertaken for specific purposes. The research purposes of this study are discussed below.

### **6.2.3 Research approach**

There are three main purposes of scientific research project, namely exploratory, descriptive and explanatory (Neuman, 2006: 33; Bhattacharjee, 2012: 9). This study serves all the three purposes of scientific research.

#### **6.2.3.1 Exploratory research**

The first stage of social research is exploratory. This stage involves identifying and explaining the research problem or topic; examining and choosing research questions; searching published literature on the studied phenomenon in order to understand the existing state of knowledge in that area and to identify knowledge gaps; and to identify theories or analytical frameworks that may assist to answer research questions (Badenhorst, 2007: 43 – 44; Bhattacharjee, 2012: 22). Chapter One of this study provided the background and rationale for the study (see *supra* 1.2), and discussed the research problem and research questions (see *supra* 1.3).

An exploratory research project is often undertaken to fill the void in the literature in areas of inquiry that are new or under-studied, and existing areas where the research problems have been insufficiently answered (Neuman, 2006: 33; Bhattacharjee, 2012: 9). Exploratory research is normally undertaken to study the nature and extent of a particular phenomenon, problem or behaviour; to produce some initial ideas about the studied phenomenon; and to test the feasibility of conducting a more in-depth study of that particular phenomenon (Bhattacharjee, 2012: 25).

This study is an exploratory research project because globally and locally there are limited studies that investigate the implementation of the performance management system in the ministries of foreign affairs. A literature search for studies that investigated the implementation of the performance management system in the ministries of foreign affairs was identified in only two articles, one by K. S. Rana published in 2004 entitled "Performance Management in Foreign Ministries," and another by M. Mwagiru published in 2006 titled "Issues, Problems, and Prospects in Managing the Diplomatic Services in Small States." Similarly, only two books were found that discussed performance management in the ministries of foreign affairs written by the same author K.S. Rana titled "The 21<sup>st</sup> Century Ambassador: Plenipotentiary to Chief Executive" originally published in 2004, and "21<sup>st</sup> Century Diplomacy: A Practitioner's Guide" published in 2011.

Locally, there was no study found. As indicated in Chapter One (see *supra* 1.2), there is limited scholarly literature on the implementation of the performance management system in the Botswana public service. The bulk of the current literature on the implementation of the performance management system in the Botswana public service are international conference papers presented by senior government officials such as those by Bakwena (2003), Moleboge (2003), Nkhwa (2003), Bashe and Jongman (2006), Nyamunga (2006), Mogae (2007), Skeleman (2007) and Nkhwa (2008).

The available scholarly studies such as those by Hope (2002; 2003) and Mothusi (2008) are one-dimensional case studies. Hope focused on the aspect of leadership while Mothusi focused on organisational culture. As a consequence, these studies do not provide a comprehensive account of the implementation of the performance management system as they omit other factors that affect implementation. None of these studies considered the challenges and difficulties



of implementing the performance management system in a global or international environment.

This study addresses these two shortcomings by adopting a holistic or multi-dimensional analytical framework to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. This study attempted to fill the void in the literature regarding the implementation of the performance management system in the global environment. The available studies on the implementation of the performance management system in the global environment do so from a multinational perspective and not from a public service perspective. That is, the focus is on the operations of multinational corporations in a global environment rather than on operations of public service institutions.

According to Rana, there are two reasons why the implementation of the performance management system in ministries of foreign affairs is understudied. First, the performance management system is a relatively new management technique that was introduced in African, Asian, and Latin American ministries of foreign affairs around 2000 (Rana, 2011: 173). The United Kingdom was the pioneer of the performance management system in the ministries of foreign affairs in the late 1980s. It was followed by the ministries of foreign affairs of Australia, France, and New Zealand (Rana, 2004: 385).

Second, there is limited market for management consultants to develop expertise in operations research in ministries of foreign affairs because of the limited staff numbers and narrowness of research themes (Rana, 2011: 349). Due to the dearth of research on the implementation of the performance management system in the ministries of foreign affairs, the researcher found it worthwhile to conduct this study to identify the factors that facilitate or impede the effective

implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service.

#### **6.2.3.2 Descriptive research**

Descriptive research provides a detailed picture of the subject (Neuman, 2006: 35). It is undertaken to make systematic observations and detailed documentation of the studied phenomenon. Unlike casual observations, observations of descriptive research are based on the four criteria of establishing trustworthiness of study findings (see *infra* 6.5). Descriptive research seeks answers to the what, where, and when questions of the studied phenomenon (Bhattacharjee, 2012: 9). This researcher used the case study, evaluation research and survey method to study, obtain detailed and contextualised descriptions and analyses of the studied case study institution (Ministry of Foreign Affairs and International Co-operation) and to investigate the implementation of the performance management system in the case study institution. Detailed descriptions were also used in this study to provide information about survey respondents, research setting, unit of analysis, population and sampling, data collection instruments, data analysis and interpretation.

#### **6.2.3.3 Explanatory research**

Explanatory research is often conducted to explain observed or studied phenomenon, problem, or behaviour. It attempts to answer the why and how questions of the observed phenomenon by seeking explanations for observations made from empirical inquiry, identifying causal factors and logically explaining the cause-effect relationships and connecting the different pieces of the studied phenomenon (Neuman, 2006: 35). Most of doctoral research falls into the

explanatory category, while exploratory and descriptive research are largely confined to the initial stages of research (Bhattacharjee, 2012: 9).

This study is largely explanatory research. As indicated in Chapter One, it seeks to identify the factors that facilitate or impede the effective implementation of the performance management system generally and more specifically to the Ministry of Foreign Affairs and International Co-operation of the Botswana public service, which is used as a case study. The study provides explanations why the implementation of the performance management system has been a major challenge in public services of developing countries, including the Botswana public service.

To conduct an empirical study, the researcher has to choose a paradigmatic perspective to organise and guide the study, scientific reasoning and observations.

#### **6.2.4 Paradigmatic perspective**

The design and conduct of social research is influenced by the conceptual models or analytical frameworks that are selected to organise and guide the study, scientific reasoning and observations. These mental models, or frames or belief systems are known as paradigms (Bhattacharjee, 2012: 19). Paradigms influence the way researchers view the world, study and understand the world, and how they structure their thoughts, reasoning and observations. They influence which concepts will be studied, how they will be measured, observed and interpreted. By so doing, they may “impose blinders or limit researchers’ range of vision, causing them to miss out on important concepts that are not defined by the theory [paradigm]” (Bhattacharjee, 2012: 28). As a result, social science researchers view the same social reality (social phenomenon) in different ways

(Bhattacharjee, 2012: 19 - 20). This study used the model of social programmes as an analytical framework.

#### **6.2.4.1 Model of social programmes**

According to Babbie and Mouton (2001: 366), the model of social programmes was developed to provide a holistic and comprehensive frame of reference for understanding and evaluating the implementation of any social intervention programme based on eight main features or dimensions that characterise all social intervention programmes. These are the eight main dimensions of the model of social programmes: (1) clearly defined programme goals and objectives; (2) an intended target group (intended beneficiaries or programme recipients); (3) explicit measures of success (outcome measures); (4) programme components (the means to achieve the goals, that is, the resources or activities or inputs); (5) programme management and implementation system (programme infrastructure); (6) the human resource base (those who drive the programme, that is, programme managers and administrators); (7) programme stakeholders (the stakeholders that have a direct or indirect interest in the programme); and (8) programme context or setting in which the programme is implemented (Babbie and Mouton, 2001: 343).

As already noted in Chapter Three (see *supra* 3.3), an analytical framework serves many purposes in a study. As observed by Athanasou, Mpofu, Gitchel and Elias (2012: 43), it serves as a researcher's road map or compass of the studied phenomenon because it determines what will be selected for study and how it will be explained. These authors further argue that an analytical framework aligns an idea and data, observations and explanations, and a theory and its empirical verification or proof. This is supported by Babbie and Mouton (2001:

366) who observed that an analytical framework provides “an explanatory (causal) framework for the interpretation of empirical findings.”

The model of social programmes was used by this researcher to structure or organise this study in a logical manner (Vandenabeele and Hondegheem, 2008: 245). It provided the logical basis for data collection, analysis, interpretation, and drawing conclusions. The research questions for this study were formulated based on the eight dimensions of the model of social programmes. These dimensions were used as analytical categories of this study and they guided data collection (gathering of evidence), presentation, analysis, and interpretation of study findings. The model of social programmes assisted the researcher to better understand and analyse the research problem of the study by identifying concepts and theories that are pertinent to describe and explain the studied phenomenon (Mouton, 1996: 11; Babbie and Mouton, 2001: 366; Neuman, 2006: 74; Badenhorst, 2007: 21; Vandenabeele and Hondegheem, 2008: 245; Bhattacharjee, 2012: 23). For example, theories of programme implementation, organisation, employee motivation, and institutional theories were used to explain the studied phenomenon.

This study is based on the philosophical paradigm of post-positivism.

#### **6.2.4.2 Post-positivism paradigm**

There are two paradigms that are dominant in the social sciences, namely positivism and post-positivism. This study follows the post-positivism or post-empiricism paradigm which emerged in the mid-late twentieth century as an alternative to positivism. It is founded on the research philosophy that scientific inquiry should not be limited to observable facts only (empirical observations and measurements) but should also include logical reasoning or reasonable

inferences about the studied phenomenon, including human thoughts and emotions (Bhattacharjee, 2012: 20).

This study investigated the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service from the insider perspective. As explained by Babbie and Mouton (2001: 271), the “insider/actor” or “emic” perspective is used by qualitative researchers to study, describe and understand human actions, decisions, attitudes, behaviour, practices, culture, customs and beliefs from the view of the actors themselves. The present study investigated perceptions of survey respondents regarding knowledge and understanding of the performance management system of the Ministry of Foreign Affairs and International Co-operation; attitudes towards the implementation of the programme; programme implementation and management (approaches and co-ordination); human resource management policies and practices; institutional structure; and institutional culture.

Post-positivism views the findings and conclusions of social research as tentative or probabilistic and based on many contingencies that can never be proven conclusively, but only disproven by empirical evidence. This is so because study findings of qualitative research are determined by a particular context, place, time, survey respondents, and the researcher (Babbie and Mouton, 2001: 282). According to the post-positivism paradigm, there is no single, objective reality (truth); instead there are multiple realities that are socially constructed by different people (Morgan and Sklar, 2012: 77). This study used triangulation of research methods (case study, evaluation research, and survey method) and triangulation of data sources (literature review, document analysis, questionnaires, and follow-up personal interviews) to obtain multiple perspectives on the studied phenomenon.

From this paradigm, objective truth (reality) is difficult to verify because truth is intellectual, deductive, subjective and interpretative, though it is possible to be empirically tested as true or false based on empirical observations. Post-positivism is viewed as a better paradigm to study and understand social reality (Bhattacharjee, 2012: 11, 20). It emphasises detailed descriptions and contextual understanding of the studied phenomenon within its natural setting rather than generalisation. Social reality is viewed as contextual and idiographic (based on the particulars of each case or specific context) rather than nomothetic (based on law-like generalisations across cases) (Isaac and Michael, 1995: 219 – 220; Babbie and Mouton, 2001: 272; Bhattacharjee, 2012: 105; Morgan and Sklar, 2012: 72).

This study used deductive or logical reasoning. Deductive research draws conclusions about a studied phenomenon based on analytical frameworks or logical reasons established on a given set of premises (Bhattacharjee, 2012: 17). Deductive conclusions are generally considered to be stronger than inductive conclusions. Inductive conclusions are often a hypothesis based on one or more observed evidence, which can be disproven or have rival explanations or interpretations (Bhattacharjee, 2012: 18). According to Bhattacharjee (2012: 6), in a deductive research the aim of the researcher is to test concepts and patterns known from theory or analytical framework using new empirical data.

Based on the foregoing, deductive research is also known as *theory-testing* research. Nevertheless, the aim of deductive research is not only to test or validate a theory or analytical framework, but also to modify, and expand it (Bhattacharjee, 2012: 6). This study attempted to generate new knowledge by investigating the implementation of the performance management system in the global environment from a public service perspective rather than from a multinational perspective. The study findings may result in some modification of

the model of social programmes and inclusion of new explanations from the studied phenomenon. Furthermore, the study findings and recommendations may influence policy changes and development in the Ministry of Foreign Affairs and International Co-operation.

Deductive research is appropriate for the study of social phenomenon when there are many contending theories of the same phenomenon and researchers are interested in knowing which theory has high utility value and under what conditions (Bhattacharjee, 2012: 7). Apart from the model of social programmes which was used as analytical framework for this study, there are other models such as those proposed by Hacker and Washington (2004: 53) to assess implementation of large-scale social intervention programmes such as the performance management system, and the performance management model proposed by Bento and White (2006: 53).

Bhattacharjee further points out that theory testing is problematic in the social sciences because of the vagueness of constructs, inadequate measurement instruments, and the presence of unaccountable factors that may influence the studied phenomenon. Social science constructs often lack objective measures such as prices or income and rely on subjective or judgemental measures such as attitude, creativity, or self-esteem (Bhattacharjee, 2012: 44, 54). This study used subjective interpretations or perspectives of survey respondents to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. The performance management system of the Botswana public service was implemented simultaneously with other three innovations, namely decentralisation, computerised personnel management system, and human resource development and thus making it difficult to isolate its cause and effects



from those of other three innovations. These four innovations were introduced in 1999 to improve the performance of the Botswana public service (see *supra* 4.3).

The way the social science researcher views and studies social phenomenon is influenced by philosophical assumptions.

### **6.2.5 Philosophical assumptions**

According to Burrell and Morgan (cited in Bhattacharjee, 2012: 20), there are two fundamental sets of philosophical assumptions, namely ontology and epistemology. According to Morgan and Sklar (2012: 70), ontology refers “to what can be known (what is reality),” whilst “epistemology is concerned with how something can be known.” Ontological assumptions refer to the researcher’s assumptions or views about the world. That is, the researcher’s perspective towards reality. The researcher could view the world as well-ordered or constantly changing. Epistemological assumptions refer to the researcher’s assumptions about the best approach to study the world. The researcher could choose an objective or subjective approach to study social reality (Bhattacharjee, 2012: 20).

Qualitative research such as this study adopts a subjective approach to study social reality. It is based on the assumption that social reality is influenced by human experiences and social contexts and is therefore best interpreted within its socio-historic context (Bhattacharjee, 2012: 104). This study used qualitative research designs such as the case study method and evaluation research to investigate the research problem in its natural setting or real-life context. Human attitudes, behaviours, emotions, and perceptions are best studied in real-world context to avoid artificial control and manipulation which create methodological

artefact or misleading findings (Yin, 1981: 59; Bell, 1993: 12; Isaac and Michael, 1995: 219; Seale, 1999: 467).

Based on the two sets of philosophical assumptions, social research can be classified into four categories or paradigms which are functionalism, interpretivism, radical structuralism, and radical humanism. If a researcher views the world as well-ordered and seeks to study patterns of ordered events or behaviours (ontological assumptions), and uses an objective approach to study social reality by using quantitative research methods such as experiments and surveys (epistemological assumptions), then the approach selected is functionalist paradigm (Bhattacharjee, 2012: 20 - 21). This study used triangulation of research methods and data sources to enhance the credibility, transferability, dependability, and confirmability of study findings (see *supra* 6.3.1 and 6.3.4).

On the other hand, if the researcher chooses the subjective approach to study social reality by using subjective interpretations or perspectives of respondents, and uses qualitative methods such as interviews and participant observation, then the approach adopted is an interpretivism paradigm (Bhattacharjee, 2012: 21). As already indicated above (see *supra* 6.2.4.2), this study used the “insider/actor” or “emic” perspective to investigate perceptions of survey respondents regarding knowledge and understanding of the performance management system of the Ministry of Foreign Affairs and International Co-operation; attitudes towards the implementation of the performance management system; programme implementation and management (approaches and co-ordination); human resource management policies and practices; institutional structure; and institutional culture.

Naturalistic and qualitative approaches were adopted to conduct this study such as the case study method which is contextual and natural to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation and using the insider perspective (perspectives of survey respondents). According to Babbie and Mouton (2001: 350), naturalistic and qualitative approaches are rooted in the interpretivist paradigm.

If a researcher views the world as constantly changing (consisting of radical change) and uses an objectivist approach to understand or effect change, then the approach selected is radical structuralism paradigm. Lastly, if a researcher uses subjective interpretations of respondents to understand social change, then the approach employed is radical humanism paradigm. This study used a multi-paradigmatic approach which had some elements of the functionalist paradigm (the implementation of the performance management system was studied using the objectivist technique of survey) and the interpretivism paradigm (post-positivism paradigm, and the subjectivist technique of follow-up interviews was used). A multi-paradigmatic approach is recommended because it permits a holistic and comprehensive understanding of social reality (Bhattacharjee, 2012: 21).

Social research is conducted at theoretical and empirical levels.

#### **6.2.6 Research philosophy**

Basically, social research operates at two levels, namely the theoretical (abstract) and the empirical (practical) level. The theoretical level deals with conceptualisation: definitions or meanings of the key concepts and constructs to be studied, the relationships between those concepts and constructs and the

analytical framework to be used to study the social phenomenon (Mouton, 1996: 66; Babbie and Mouton, 2001: 98; Bhattacharjee, 2012: 6). Conceptualisation was discussed in Chapter One (see *supra* 1.6), while the analytical framework was discussed in Chapter Three. The empirical level deals with operationalisation: observations, analyses and interpretations of those observations, measurements or testing of theoretical concepts and their relationships to determine if they match observed reality (Bhattacharjee, 2012: 6). Operationalisation was covered in Chapters Six and Seven.

To effectively conduct good social research, a researcher should have two sets of skills, namely theoretical and methodological skills to be able to undertake the research at the theoretical and empirical levels. Theoretical skills deal with the “know-what,” are considerably harder to learn and master by study because they involve mental abstractions and as a result they require many years to develop by experience, observation and reflection. Methodological skills deal with the “know-how,” are relatively standard and the same across disciplines, and are easily learned through undergraduate and graduate programmes (Bhattacharjee, 2012: 7, 12). A literature study of the analytical framework and research methods was undertaken by the researcher to learn theoretical and methodological skills needed to successfully complete a doctoral thesis. The researcher also relied on his research experience gained during his undergraduate and postgraduate studies. Moreover, the researcher received guidance from his supervisors.

The second step after choosing the research design is to decide on the research methodology. The research methodology is used to execute the research design.

## **6.3 RESEARCH METHODOLOGY**

According to Brynard and Hanekom (1997: 28) and Babbie and Mouton (2001: 104), the term “research methodology” refers to the various methods, techniques, and procedures that are used to execute the research design or research plan. The research methodology involves choosing research methods and strategies of data collection and sampling.

### **6.3.1 Research methods**

Since this study used a mixture of qualitative and quantitative research designs, three research methods were chosen to study the research problem, namely case study, evaluation research and survey method.

#### **6.3.1.1 Case study method**

A case study method refers to an in-depth investigation of a research problem in its natural setting or real-life context. This study used a single case study method because it investigated the implementation of the performance management system in only one government ministry. A case study method was selected because it has the following advantages. First, a case study method produces rich, detailed, and contextualised data about the studied phenomenon (Webb and Weick, 1979: 654; Babbie and Mouton, 2001: 281; Bhattacharjee, 2012: 94).

Second, a case study method is appropriate for an in-depth investigation of a research problem within a limited period of time; collecting evidence systematically; identifying variables and studying the relationship between variables. Third, a case study method can be combined with other data collection methods such as survey questionnaires, observations, interviews, and document

analysis (Yin, 1981: 58; Bell, 1993: 8). Fourth, a case study method permits the researcher to investigate the research problem from multiple perspectives (in this case senior, middle, and junior management). Finally, it allows the researcher to investigate the research problem from multiple levels of analysis such as individual, group and institutional (Bhattacharjee, 2012: 94).

The case study method has the following weaknesses. First, due to lack of experimental and control groups, internal validity of inferences derived from case study is low (Bhattacharjee, 2012: 94). Second, a case study method is liable to social desirability bias (Miles, 1979: 597; Yin, 1981: 58; Washington and Hacker, 2005: 400). According to Neuman (2006: 285), social desirability bias “occurs when respondents distort answers to make their reports conform to social norms.” The researcher addressed this limitation by using multiple sources of data such as archival materials or documentary sources to supplement self-reports of the staff of the Ministry of Foreign Affairs and International Co-operation (Jick, 1979: 602; Webb and Weick, 1979: 650). In addition, consultancy studies, masters and doctoral theses were used to cross-check and corroborate self-reports of the staff of the Ministry of Foreign Affairs and International Co-operation.

Some of the consultancy studies used include “The Performance Management System: A Plan for Government-Wide Implementation” by the Academy for Educational Development written in 1996 and the “Evaluation of the Implementation of the Performance Management System of the Botswana Public Service” by the Institute of Development Management Consortium written in 2006. The following masters and doctoral theses were used for this study: T.T. Monnaesi (2011) entitled “A Description of Whether the Objectives of the Performance Management System of the Botswana Department of Tribal Administration are Being Realised”; and B. Mothusi (2008) titled “Public Sector

Reforms and Managing Change in Botswana: The Case of Performance Management System,” respectively. These were complemented by the researcher’s personal experiences<sup>18</sup> and firsthand observations (Jick, 1979: 609).

Third, it is often difficult to cross-check the accuracy and authenticity of all the information presented in a case study, hence the danger of distortion (Bell, 1993: 9). Fourth, case studies are generally lengthy (Yin, 1981: 64). Fifth, the study findings and conclusions of single case studies are often criticised for lack of representativeness and generalisability. However, McClintock, Brannon and Maynard-Moody (1979: 615) contend that a single case study is desirable because of practical and theoretical considerations such as opportunity, unusual events, financial constraints, and need for hypothesis development.

Similarly, Bassey (1981: 85 – 86) cited in Bell (1993: 9 – 10) argued that the detailed description and specificity of the single case study are more important than generalisation because the study findings and conclusions of a well-researched case study may be relatable to other institutions in a similar situation or context. In conclusion, Bell (1993: 126) argued that “well-prepared, small-scale studies may inform, illuminate and provide a basis for policy decisions within the institution. As such, they can be invaluable.”

#### **6.3.1.2 Evaluation research**

According to Babbie and Mouton (2001: 334), evaluation research (evaluative research) or programme evaluation “refers to a research purpose rather than a specific research method.” Evaluation research was defined by Rossi and Freeman (1993: 5) as “the systematic application of social research procedures

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<sup>18</sup> The researcher served as the Mission Performance Improvement Co-ordinator for the Botswana High Commission in Pretoria, South Africa from June 2010 to July 2014.

for assessing the conceptualisation, design, implementation, and utility of social intervention programmes” (cited in Babbie and Mouton, 2001: 335). For this study, the research purpose was investigating the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. Investigating the process of implementation of a social intervention programme is considered a critical aspect of all evaluation research (Babbie and Mouton, 2001: 345).

An evaluation research was selected because of the following considerations. First, this study was undertaken after the performance management system was implemented in the Botswana public service in 1999. Due to the timing of this study, other types of evaluation research such as formative evaluation would not be undertaken as the time for such studies had elapsed (Babbie and Mouton, 2001: 342). Second, this study was evaluative in nature. The primary aim of this study was to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. The unit of analysis or evaluation of this study was the performance management system of the Ministry of Foreign Affairs and International Co-operation, which was used as a case study institution. Finally, evaluation research was selected because it can be combined with other research methods such as case study and survey methods (Babbie and Mouton, 2001: 334).

Evaluation research forms part of applied social research. Applied social research refers to a study which addresses real-life problems or practical problems rather than hypothetical ones (De Vos, Schurink and Strydom, 1998: 11; Babbie and Mouton, 2001: 75). For this study, the real-life problem was the execution or implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. There are advantages of



undertaking an applied social research as an inside-researcher.<sup>19</sup> First, applied social research is best suited to study real-life problems that cannot be repeated outside that context (Bhattacharjee, 2012: 42). Compared to other government ministries and independent departments, the Ministry of Foreign Affairs and International Co-operation operates in a unique global environment that is distinct from the domestic environment.

Second, applied social research was used by this researcher to investigate a research problem that is practically relevant to the work environment. The implementation of the performance management system affects all the Botswana public service employees, including the staff of the Ministry of Foreign Affairs and International Co-operation. Investigating a research problem that is of interest and practical importance to the case study institution such as this one may interest respondents to take part in the study and thereby improving the survey response rate (Scott, 1961: 178; Bhattacharjee, 2012: 82). Third, applied social research has practical use and value because it simultaneously contributes to problem solving, advancement of scientific knowledge and provides valuable insights that may improve and bridge the gap between theory and professional practice (Bell, 1993: 57; De Vos, Schurink and Strydom, 1998: 4; Bhattacharjee, 2012: 42).

Fourth, an inside-researcher is well-known to the institution and may therefore have easy access to the institution, respondents, and information than an outsider researcher. Fifth, an inside-researcher may easily obtain permission, co-operation and trust from respondents and establish good rapport with them than an outsider researcher. Lastly, this researcher as an inside-researcher has firsthand knowledge of the institution he is studying, its institutional culture,

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<sup>19</sup> The researcher is an employee of the Ministry of Foreign Affairs and International Co-operation.

values, norms and politics, which places him in a better position to investigate the research problem (Bell, 1993: 56).

There are disadvantages of undertaking an applied social research as an inside-researcher. First, there is role conflict between being a full-time employee and a part-time researcher (Bell, 1993: 56). Second, interviewing respondents from the same institution (colleagues) may be an uncomfortable experience for both the interviewer and the interviewee, especially interviewing senior managers because of their status and power (Bell, 1993: 98). There may be some sensitive topics that colleagues may not feel psychologically safe to divulge to an inside-researcher (Niven, 2003: 163).

Third, an inside-researcher's closeness with the institution and respondents may cloud the investigation, analysis and understanding of the research problem. As argued by De Vos and Van Zyl (1998: 269) and Neuman (2006: 390), an inside-researcher may fail to observe things that have become familiar, routine and obvious. Fourth, an inside-researcher may be overly cautious and fear to probe difficult questions and questioning the status quo to safeguard his or her job and career. As noted by (Bell, 1993: 59), an inside-researcher is vulnerable because he or she has to live with the negative consequences of his or her mistakes. This may result in a study that is conformist to government agenda (Youngs and Piggot-Irvine, 2012: 187). Lastly, the study findings and recommendations reached by an inside-researcher may not be taken seriously by the institution because of lack of credibility, recognition and respect for the inside-researcher (Niven, 2003: 63).

The researcher adopted the following measures to address the disadvantages of undertaking applied social research as an inside-researcher. This study was undertaken independently (self-sponsored study) and the researcher strived to

abide by the ethics of social research. Even though the researcher is part of the Ministry under study, he will not manipulate the study findings in any way, but will present them as they are. To ensure objectivity, the researcher supported his arguments and conclusions with theoretical and empirical evidence. Where there were conflicting views in the literature, the researcher provided alternative explanations or interpretations to his own viewpoint. Similarly, study findings and conclusions were based on gathered facts, theoretical and empirical evidence and observations, and not on the research's personal opinions.

#### **6.3.1.3 Survey method**

The third research method that was selected for this study was the survey research. Bhattacharjee (2012: 74) defined survey research as a research method that involves the use of standardised questionnaires or interviews to gather data about respondents and their preferences, thoughts, and behaviours in a systematic manner. Survey research falls into two categories, namely questionnaire surveys and interview surveys (Neuman, 2006: 43; Bhattacharjee, 2012: 75). This study used both questionnaire surveys and follow-up personal interviews (see *infra* 6.3.4.3 and 6.3.4.4).

The survey method was selected because of the following considerations. First, it is appropriate to answer research questions regarding the what, where, when and how of a phenomenon under study. On this basis, it is considered a good fact-finding method. Second, it is suitable for studies such as this one that have individual people as the unit of analysis. Third, it is a relatively inexpensive and fast way of collecting data from a large number of respondents within a short period of time. Fourth, the survey method enables the researcher to ask all the respondents the same questions and thus allowing descriptions and comparisons to be made (Bell, 1993: 11; Bhattacharjee, 2012: 74). Finally, the survey method

is appropriate to study social phenomena such as human attitudes, behaviours, beliefs, emotions, opinions or perceptions, preferences, and traits (Seale, 1999: 467).

The survey method has the following weaknesses. First, as is the case with the evaluation research, cause and effect relationships are often hard to prove through survey research (Bell, 1993: 11). Second, it is prone to non-response bias, sampling bias, social desirability bias, and recall bias. Generally, survey research has low response rates and a response rate of 15 to 20% is common in a mail survey, even after two or three reminders (Bhattacharjee, 2012: 81). Sampling bias occurs when respondents are asked questions that they may not know the answers to or questions that do not concern them (Bhattacharjee, 2012: 82).

Social desirability bias occurs when respondents avoid providing answers that are negative or embarrassing about themselves, their institution, family, or friends (Bhattacharjee, 2012: 82). Recall bias or memory decay refers to the fact that overtime respondents “forget some of the relevant detail of an event” due to “the length of time that has elapsed since the occurrence of the event;” “the irregular occurrence of the event;” “the relative unimportance of the event;” and the “decreased accessibility to relevant data relating to the event” (Mouton, 1996: 153; Babbie and Mouton, 2001: 349).

The other biases of survey research are “the omniscience syndrome and interview saturation.” The omniscience syndrome refers to the tendency by some respondents who believe that they can answer any question posed and these results in survey responses that are falsified (Mouton, 1996: 153). Mouton (1996: 154) also advises researchers about the acquiescence response set, which refers to the tendency by some respondents “to answer either yes or no to

virtually all the items in a questionnaire or scale.” To counteract the acquiescence response set, the research questions were ordered in such a way that the positive and negative responses were mixed so that the respondent cannot answer all questions in a similar response pattern.

The concept of interview saturation sensitises the researcher to the fact that some members of society, especially those in urban areas are subjected to frequent interviews or completion of questionnaires. Interview saturation may result in respondents being unwilling or reluctant to be interviewed or to complete questionnaires and/or may answer questions mechanically and superficially (Bell, 1993: 64; Mouton, 1996: 153).

The selection of the data collection methods and sampling strategy is influenced by the research context or setting and the unit of analysis (Bhattacharjee, 2012: 24).

### **6.3.2 Research setting and unit of analysis**

This section provides a brief background of the case study institution and the unit of analysis. Unit of analysis is defined as the person, collective, or object that is the target of the scientific inquiry or investigation. Examples of unit of analysis are individuals, groups, institutions, countries, technologies, and objects that the researcher wishes to draw scientific inferences about (Bhattacharjee, 2012: 12, 67). The units of analysis for this study were the staff members of the Ministry of Foreign Affairs and International Co-operation (which was used as a case study institution) and the performance management system (which was the social intervention programme that was being investigated). The Ministry of Foreign Affairs and International Co-operation was the institutional unit of analysis.

### **6.3.2.1 Ministry of Foreign Affairs and International Co-operation**

As noted in Chapter One (see *supra* 1.2), the Ministry of Foreign Affairs and International Co-operation is one of the fifteen government ministries and nine independent departments that constitute the Botswana public service. The Ministry like other government ministries has a minister, who is a political head and the permanent secretary as the administrative head. The permanent secretary is the chief executive officer as well as the chief accounting officer of the Ministry (Goitsemanang, 2013: 6).

The permanent secretary of the Ministry is deputised by two deputy permanent secretaries, one responsible for corporate services and another for international relations. Below the permanent secretary and the two deputies are seven heads of departments (Directors) and twenty-one heads of Botswana diplomatic missions abroad (Ambassadors, High Commissioners, and Consul General). Directors report to their respective deputy permanent secretaries. Five directors report to the deputy permanent secretary responsible for international relations. These are (1) director, Africa and the Middle East; (2) director, Multilateral Affairs; (3) director, Asia and the Pacific; (4) director, Public Relations, Research and Information; and (5) director, Europe and Americas. The remaining two directors: (1) director, Protocol and Consular Services; and (2) director, Corporate Services, report to the deputy permanent secretary responsible for corporate services. Heads of Botswana diplomatic missions abroad report to the directors of their respective territorial (geographic) departments (Goitsemanang, 2013: 6 - 8).

The Ministry of Foreign Affairs and International Co-operation has eighteen administrative offices, units, section and territorial departments, namely (1) Office of the Minister, (2) Office of the Permanent Secretary, (3) Department of

Africa and the Middle East, (4) Department of Asia and the Pacific, (5) Department of Corporate Services, (6) Department of Europe and the Americas, (7) Department of Multilateral Affairs, (8) Department of Protocol and Consular Services, (9) Department of Public Relations, Research and Information, (10) Reforms Unit, (11) Information Technology Unit, (12) Legal Affairs Unit, (13) Youth Unit, (14) Records Management Unit, (15) Accounts Unit, (16) Finance Unit, (17) Supplies Unit, and (18) Transport Section (Republic of Botswana, Botswana Diplomatic Directory, 2012b: 1 -11).

The Ministry of Foreign Affairs and International Co-operation serves as a facilitator, co-ordinator and representative or emissary of all Botswana's foreign relations and dealings with the outside world (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 4). First and foremost, the core mandate of the Ministry is to formulate and implement Botswana's foreign policy.<sup>20</sup> The second mandate of the Ministry is to promote Botswana's national interests<sup>21</sup> (national objectives and goals) abroad through the implementation of existing co-operation agreements, identification of new areas of co-operation, and the negotiation of new co-operation agreements. The third mandate of the Ministry is to promote and maintain sound diplomatic relations at bilateral, regional and multilateral levels (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 4; Rana, 2011: 187).

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<sup>20</sup> Foreign policy is defined as "an extension of domestic policy abroad" or into the world stage because it "projects the country's self-interest and causes of international common good"(Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 23; Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 131).

<sup>21</sup> National interests are broad and cover a wide spectrum such as commercial, cultural, economic, educational, political, security, and scientific interests (Rana, 2011: 211).

The fourth mandate of the Ministry of Foreign Affairs and International Co-operation is to provide protocol services to local and foreign dignitaries. The fifth mandate of the Ministry is to project a positive image of Botswana abroad and to generate positive publicity (Rana, 2011: 187 - 188). Sixth, the Ministry “serves as a major Government communication channel with the international community and provides service abroad on behalf of other government ministries and independent departments” (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 131). Seventh, the Ministry develops sound internationally accepted norms, and protocol standards and procedures. Finally, the Ministry conducts research in the field of foreign relations and international politics (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 5).

The Ministry of Foreign Affairs and International Co-operation works through its headquarters in Gaborone; Botswana diplomatic missions abroad and Botswana's honorary consuls (Goitsewang, 2013: 9).

#### **6.3.2.1.1 Botswana diplomatic missions abroad**

Botswana has twenty-one diplomatic missions abroad. Out of the twenty-one, twenty are fully-fledged diplomatic missions and the remaining one is a consulate. The twenty are located in (1) Canberra, Australia; (2) Brussels, Belgium; (3) Brasilia, Brazil; (4) Beijing, China; (5) Addis Ababa, Ethiopia; (6) New Delhi, India; (7) Tokyo, Japan; (8) Nairobi, Kenya; (9) Kuwait City, Kuwait; (10) Maputo, Mozambique; (11) Windhoek, Namibia; (12) Abuja, Nigeria; (13) Pretoria, South Africa; (14) Stockholm, Sweden; (15) Geneva, Switzerland; (16) London, United Kingdom; (17) New York, United States of America; (18) Washington DC, United States of America; (19) Lusaka, Zambia; and (20) Harare, Zimbabwe. The only Botswana consulate is in Johannesburg, South



Africa. The Botswana diplomatic mission in Maputo, Mozambique was opened following the closure of the consulate in Cape Town, South Africa on 31 August 2012 (Republic of Botswana, Botswana Diplomatic Directory, 2012b: 12 – 42).

The twenty-one Botswana diplomatic missions abroad act as field offices or delivery vehicles of the Ministry. They perform the following diplomatic tasks. First, they provide policy advice from the field (countries of accreditation). Second, they provide reports on significant developments in countries of accreditation. Third, they provide direct, face-to-face contact with the host country, Botswana nationals abroad and the international community. Fourth, they register Botswana nationals abroad so that they can be able to provide emergency assistance during natural and man-made disasters (Rana, 2011: 217).

Fifth, Botswana diplomatic missions abroad provide assistance<sup>22</sup> to host country citizens and third country nationals travelling to the home country, Botswana's dignitaries and nationals travelling to countries of accreditation and in transit. Sixth, Botswana diplomatic missions abroad engage in export, trade and investment, tourism and cultural promotion (Rana, 2011: 188). Seventh, Botswana diplomatic missions abroad promote and safeguard the interests or welfare of Botswana nationals' abroad (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 5). Finally, Botswana diplomatic missions abroad administer

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<sup>22</sup> Botswana diplomatic missions abroad facilitate travel by issuing visas to locals and third country nationals travelling to the home country. They facilitate high-level visits by heads of state and government, cabinet ministers and senior government officials of the sending and receiving state to countries of accreditation and home country, respectively. They assist Botswana nationals in countries of accreditation to replace lost and stolen passports, and renew expired passports. They provide assistance to Botswana nationals arrested and imprisoned in countries of accreditation. They issue travel advisories, and provide emergency services to stranded Botswana nationals. Botswana diplomatic missions abroad also notarise and authenticate Botswana legal documents such as birth and death certificates, marriage certificates, education certificates, and driving licences (Rana, 2011: 210 – 211, 217).

Batswana students in countries of accreditation, and protect the rights of Batswana in countries of accreditation (Rana, 2011: 211).

#### **6.3.2.1.2 Botswana honorary consuls**

Generally, honorary consuls are appointed to maintain official diplomatic representation in a foreign capital or any other cities where there is no resident diplomatic mission of the appointing country. Rana (2005: 155) defined the honorary consul as “an unpaid individual who voluntarily undertakes a limited, part-time local role on behalf of a foreign government.” They are appointed to fly the flag of the appointing country and to provide limited diplomatic services. Individuals appointed as honorary consuls are usually nationals of the receiving country or permanent resident nationals from the appointing country or third country in the receiving country. Honorary consuls are mostly used by the ministries of foreign affairs as a cheaper<sup>23</sup> way of maintaining and managing diplomatic relations with other countries (Rana, 2011: 72, 212, 220).

They widen diplomatic representation and permit diplomatic representation in places that the appointing country cannot afford to have resident diplomatic missions (Rana, 2005: 155). Botswana has twenty honorary offices in (1) Western Australia, Australia, (2) Vienna, Austria, (3) Antwerp, Belgium, (4) Barrandov, Czech Republic, (5) Gentofte, Denmark, (6) Helsinki, Finland, (7) Berlin, Germany, (8) Munich, Germany, (9) Hamburg, Germany, (10) Athens, Greece, (11) Crocetta De M.LLO TREVISO, Italy, (12) Rome, Italy, (13) Mumbai, India, (14) Tel Aviv, Israel, (15) Kuala Lumpur, Malaysia, (16) Aibion Plage, Mauritius, (17) Oslo, Norway, (18) Amsterdam, Netherlands, (19) Kampala,

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<sup>23</sup> In general, honorary consuls do unpaid diplomatic work (voluntary work) for the appointing country (Rana, 2011: 212).

Uganda, and (20) Karachi, Pakistan (Republic of Botswana, Botswana Diplomatic Directory, 2012b: 43 – 44).

#### **6.3.2.2 Performance management system**

As explained in Chapter Four (see *supra* 4.3), the performance management system was one of the four innovations that were introduced in 1999 by the Botswana government to improve the performance of the Botswana public service. The other three innovations were decentralisation, computerised personnel management system, and human resource development. According to Rana, the implementation of the performance management system in the ministries of foreign affairs is a recent international trend which emerged around 2000. This international trend was embraced by countries in Africa, Asia, and Latin America. In other continents in the developing world, the implementation of the performance management system in the ministries of foreign affairs is still at infancy stages (Rana, 2011: 173). The Ministry of Foreign Affairs and International Co-operation of the Botswana public service implemented the performance management system in 1999, thus making it one of the early adopters of the programme in Africa.

The implementation of the performance management system in African public services such as Botswana, Kenya, Mauritius, Namibia and South Africa has not only been limited to ministries of foreign affairs but is government-wide. The main aims of implementing the performance management system in the ministries of foreign affairs are to increase performance, efficiency, effectiveness and accountability; improve human resource management and professional leadership; and to ensure value for money, good governance, adaptation and reform (Rana, 2011: 172 - 173). The performance management system is an effective technique for domestic public diplomacy that can be used to

demonstrate the ministry of foreign affairs' responsiveness to customers and stakeholders and to garner support for the country's foreign policy (Rana, 2011: 186).

Before the implementation of the performance management system in the ministries of foreign affairs, on-spot periodic oversight inspections were used by the ministries of foreign affairs headquarters to enforce regulations, monitor and evaluate the performance of diplomatic missions abroad (Rana, 2011: 174).

#### **6.3.2.2.1 On-spot periodic oversight inspections**

On-spot periodic oversight inspections of diplomatic missions abroad were carried out by a team of senior and experienced inspectors drawn from a permanent unit at the ministry of foreign affairs headquarters. On-spot periodic oversight inspections were normally undertaken at intervals of three to five years. They were used by the ministries of foreign affairs of Germany, the United States of America and India. At present, ministries of foreign affairs of Brazil, China, Egypt, and Russia have permanent inspectorates (Rana, 2011: 174 – 175).

This technique was preferred because it was less costly for both small and large diplomatic services. Its main shortcomings were that the inspections were *ad hoc* and infrequent (Rana, 2011: 174). Additionally, some inspectors used this technique negatively to cut the staff of the diplomatic missions abroad and for fault-finding. The inspection reports were used mainly to expose the negatives (weaknesses, failures and mistakes) rather than emphasising and commending the positives such as strengths and successes (Dassah and Uken, 2006: 708; Rana, 2011: 175).

After deciding on the research setting and the unit of analysis, the researcher has to select the target population and the sampling strategy.

### **6.3.3 Population and sampling**

Bhattacharjee (2012: 66) defined sampling as “the statistical process of selecting a subset (called a ‘sample’) of a population of interest for purposes of making observations and statistical inferences about that population.” The process of sampling involves three stages, namely defining the target population, selecting a sampling frame, and a sampling technique or strategy. The target population refers to all individuals or items (unit of analysis) with the features that the researcher wishes to study (Bhattacharjee, 2012: 66 - 67). The target population for this study was the staff members of the Ministry of Foreign Affairs and International Co-operation headquarters and the twenty-one Botswana diplomatic missions abroad.

After defining the target population, the second stage in the sampling process involves selecting a sampling frame which is normally a list of individuals with contact information from the target population where the sample is drawn or chosen (Bhattacharjee, 2012: 67). Generally, it is impractical due to feasibility and resource constraints to study the entire target population, hence the need to select a representative sample to allow generalisation about the studied population. With the exception of the census that aims to cover the total population, most survey studies do not cover all individuals from the target population (Bell, 1993: 10; Bhattacharjee, 2012: 66). It is recommended that the sampling frame used should be comprehensive, accurate, recent and relevant (Strydom, 1998: 184).

For this study, the Ministry of Foreign Affairs and International Co-operation Diplomatic Directory for 2012 was used as a sampling frame. The Diplomatic Directory lists the names, telephone and fax numbers of both the staff that works at headquarters and the Botswana diplomatic missions abroad. For the staff at the Ministry's headquarters, the sample was drawn from (1) Office of the Permanent Secretary, (2) Department of Africa and the Middle East, (3) Department of Asia and the Pacific, (4) Department of Corporate Services, (5) Department of Europe and the Americas, (6) Department of Multilateral Affairs, (7) Department of Protocol and Consular Services, (8) Department of Public Relations, Research and Information, and (9) Reforms Unit.

The industrial class employees or clerical and support staff based at the Ministry headquarters and the seconded staff at the Ministry headquarters were excluded from this study. The industrial class employees were excluded from this study because they were initially left out from the implementation of the performance management system and were generally not fully knowledgeable about the programme (Institute of Development Management Consortium, 2006: viii; Mothusi, 2008: 122). Seconded staff from other government ministries and independent departments was excluded from this study because they were not employees of the Ministry.

The seconded staff from the following government ministries and independent departments was excluded: (1) Legal Affairs Unit (Attorney General's Chambers), (2) Youth Unit (Ministry of Youth, Sport and Culture), (3) Accounts Unit (Office of the Accountant General), (4) Finance Unit (Ministry of Finance and Development Planning), (5) Supplies Unit (Ministry of Finance and Development Planning), (6) Information Technology Unit (Ministry of Infrastructure, Science and Technology – Department of Information Technology), (7) Records Management Unit

(Ministry of Youth, Sport and Culture), and (8) Transport Section (Ministry of Transport and Communications).

All the twenty-one Botswana diplomatic missions abroad were included in the sample. The locally recruited staff working at these missions was excluded from this study because it was generally not fully knowledgeable about the performance management system. Seconded staff at the Botswana diplomatic missions abroad such as military, education, health, labour, and trade attachés was excluded because they were not employees of the Ministry. Similarly, Botswana's honorary consuls were excluded because they were not employees of the Ministry either.

The population of this study was ninety (90) representing twenty-seven (27) respondents from the Ministry headquarters and sixty-three (63) from the Botswana diplomatic missions abroad. The ninety (90) respondents selected represented senior, middle, and junior management. All the three levels of management were included first and foremost to ensure comprehensiveness and representativeness of the sample (that is, representation of all categories of staff in the sample). Secondly, the three levels of management were included to obtain multiple perspectives on the studied phenomenon (Bhattacharjee, 2012: 97). Lastly, the three levels of management were included because of their functional roles in the implementation of the performance management system.

For purposes of this study, top management refers to the executive cadre of the Ministry. These are officers on E2 and above salary scale of the Botswana public service grading structure. Middle management refers to non-executive officers on D band of the Botswana public service grading structure, while junior management refers to non-executive officers on the C band. Top management was selected because it was at the apex or strategic level of the institution and

was responsible for the day-to-day management of the institution and provided strategic direction and guidance (Niven, 2003: 65; Kuyvenhoven and Buss, 2011: 9). Additionally, top management was included in this study because it had the main responsibility to design, implement, monitor, administer and institutionalise the implementation of the performance management system (Glendinning, 2002: 164).

Middle management was selected because it serves as a link or co-ordinator between top management and junior management (Kuyvenhoven and Buss, 2011: 2). Middle management was also included because it was the implementer and interpreter of the performance management system responsible for, among others things, explaining the requirements of the programme; performance measurement and reporting; conducting performance appraisals, and as drivers of strategic change (Fryer, Antony and Ogden, 2009: 488; Hildebrand and McDavid, 2011: 62; Allan, 2014: online). Junior management was included because it was involved in the delivery of public services or day-to-day operations of the institution, which makes it one of the main users of the performance management system (Niven, 2003: 65).

The third stage in the sampling process is selecting a sampling strategy or technique. A sampling strategy is used to select respondents from a sampling frame (Bhattacharjee, 2012: 68). A sampling strategy that is more appropriate to qualitative study such as this one is purposive or purposeful sampling. Purposive sampling is defined as a sampling method in which the selection of respondents or cases is purposive or judgemental rather than random. It is regarded as appropriate for qualitative study because it permits in-depth investigation of selected respondents in their natural contexts or settings (Isaac and Michael, 1995: 223). It is recommended that the researcher should purposively choose respondents who are knowledgeable about the studied phenomenon and will



best answer the research questions in order to obtain rich data (De Vos, 1998: 46). To draw the sample, the researcher decides what are the characteristics that are representative or typical of the population under study (Strydom and De Vos, 1998: 198).

#### **6.3.4 Data collection instruments**

Data collection instruments refer to the research methods that the researcher used to collect data to answer the research questions (Bhattacharjee, 2012: 24). This study used triangulation which refers to the use of multiple methods and techniques of data collection all at once in a single study (Seale, 1999: 472 – 473; Babbie and Mouton, 2001: 354; Youngs and Piggot-Irvine, 2012: 189). It enhances the validity and reliability of data collected by leveraging on the strengths of each research method and compensating the weaknesses of each method used. By so doing, it produces a study that is robust, coherent, holistic, balanced and meaningful (Bell, 1993: 64; Mouton, 1996: 157; Bhattacharjee, 2012: 24; Youngs and Piggot-Irvine, 2012: 187).

Triangulation is more suited to study complex and multi-dimensional concepts such as the performance management system, which may not be adequately studied using a single research method (Bhattacharjee, 2012: 24). Moreover, triangulation allows the researcher to compare and contrast the data collected using different research methods. By so doing, it assists to cross-validate or refute study findings (Perry, 2012: 128). Multiple sources of data may assist to explain unexpected study findings, provide valuable insights and produce new research questions that would not have emerged when the researcher relied on a single method (Bhattacharjee, 2012: 43; Perry, 2012: 128). This study used four data collection instruments, namely literature review, document analysis, questionnaires, and follow-up personal interviews.

#### **6.3.4.1 Literature review**

The literature review forms part of exploratory research. It is the foundation stone of a good research because all research is premised on previous research (Neuman, 2006: 111). The literature review serves many purposes. First, it discusses the relevant literature in the area of inquiry and locates the current research in a broader field of research. Second, it establishes justification for the current research by identifying knowledge gaps in the area of study. Third, it identifies key authors, articles, books, concepts, theories, analytical frameworks, arguments, findings and insights in the area of inquiry. Fourth, it unpacks the key concepts and theories, and discusses the analytical framework used for the study (Badenhorst, 2007: 43; Bhattacharjee, 2012: 23).

Fifth, a thorough literature review may answer some of the research questions, assist to modify the original research questions, identify theories or analytical frameworks to answer the research questions, and identify possible areas of further research (Bhattacharjee, 2012: 23). Lastly, it provides evidence that the researcher has done an extensive and critical reading of the relevant literature, and developed good counter-arguments of what exists in the literature (Badenhorst, 2007: 43). The first chapters of this study (see Chapters 1 to 5) used the literature to research on the study topic.

#### **6.3.4.2 Document analysis**

Document analysis refers to the systematic analysis of content of documents or other communication medium (Neuman, 2006: 44; Bhattacharjee, 2012: 115). Documentary sources cover both visuals such as films, videos, and slides and printed records such as books, journals, magazines, manuals, minutes, reports, newsletters, press releases, speeches and newspapers (Bell, 1993: 68; Babbie

and Mouton, 2001: 375). Some of the official government documents that were analysed included: (1) the performance management system philosophy document for the Botswana public service, (2) performance agreement guidelines for permanent secretaries and deputy permanent secretaries, (3) performance based reward system framework and guidelines, (4) Botswana Public Service Act, Botswana Public Service Charter, and the General Orders Governing the Conditions of Service of the Botswana Public Service, (5) Botswana public service vision, mission and value statements, (6) rewards menu and administration guidelines, (7) national development plans and mid-term reviews of national development plans, (8) consultancy studies, (9) state of the nation addresses by the President of Botswana, (10) budget speeches, (11) Ministry of Foreign Affairs and International Co-operation statements to the committee of supply (that is, the ministry's budget vote speeches or statements), (12) strategic plans and annual performance plans of the Ministry, (13) vision, mission and value statements of the Ministry, and (14) the Ministry's quarterly newsletter (*Moemedi/The Envoy*).

Documentary sources have the following advantages. First, they are "unobtrusive" or "non-reactive" which means that they cannot react to the fact that they are being investigated. As a result, they do not pose problems of researcher response effects or reactivity of research subjects (Jick, 1979: 606; Mouton, 1996: 143-144; Neuman, 2006: 44). Second, documentary sources were used in this study to answer research questions that research subjects could not answer and to address the problem of "memory decay" or "recall bias" by research subjects. Third, documentary sources are considered an invaluable method of data collection because they enable the researcher to collect data that would have been impossible to gather through empirical study (Bell, 1993: 67; De Vos and Fouché, 1998: 90).

Like other data collection methods, documentary sources have disadvantages. First, documentary sources often take considerable time to locate, review, and organise (Neuman, 2006: 409). Second, the accuracy and reliability of the data collected through documentary sources may be questionable. According to Bell (1993: 68 – 69), documents, including government records are deliberately preserved or recorded for posterity to justify actions (self-justification) and to preserve evidence for the future (self-vindication or enhancement of one's reputation). Bell further argues that documents may be produced to mislead or deceive people other than the researcher. The problem of gaming or manipulation of performance data is widely reported in the performance management literature (Fryer, Antony and Ogden, 2009: 486).

Third, the existing documents might be inadequate and/or irrelevant to the research topic because they were written in a different context and for a different purpose, and they tend to confine the researcher to available records (Bell, 1993: 68; Mouton, 1996: 143; Bhattacharjee, 2012: 116). However, some authors such as Webb and Weick (1979: 652) find this argument to be flawed because it assumes that data has only a single purpose and that for data to be considered valid and reliable it should have been personally generated by the researcher. In reality, data has multiple purposes and it is impractical for a researcher to personally generate all the data needed for the scientific inquiry.

Fourth, documentary sources are liable to two main sources of error, namely "selective deposit" and "selective survival" (Babbie and Mouton, 2001: 378). "Selective deposit" refers to the fact that data sources or records that a researcher may be studying may not be reflective of the original published records. Access barriers such as price and restrictions on the release of documents limit the researcher's access to all relevant documents (Bhattacharjee, 2012: 2). Generally, access to performance reports is restricted

in almost all institutions (Dess and Robinson, 1984: 266). "Selective survival" refers to the fact that not all documents are still in existence (extant), some have been lost through selective editing, censorship, normal wear and tear, computer crashes, natural and man-made disasters. Finally, due to time constraints it is often impossible to analyse every document on the research topic (Bell, 1993: 70; Neuman, 2006: 45).

#### **6.3.4.3 Questionnaires**

De Vos and Fouché (1998: 89) and Bhattacharjee (2012: 75) defined questionnaires as instruments that contain open or closed-ended questions or statements to be answered or completed in writing by respondents in a standardised manner. This study used self-administered questionnaires to collect primary and quantitative data. Self-administered questionnaires are personally completed by respondents without the involvement of the researcher.

Self-administered questionnaires have the following advantages. First, they are the easiest, cheapest and fastest way to collect data. This researcher used the Ministry intranet to distribute the questionnaires and thereby avoiding telephone, postal and courier charges. The intranet is the fastest and cheapest way of distributing questionnaires to a large number of respondents who are geographically dispersed within a short period of time (Niven, 2003: 94). Second, self-administered questionnaires are less liable to variability in field-workers because they can be administered by a single researcher (Babbie and Mouton, 2001: 262; Neuman, 2006: 299).

Third, self-administered questionnaires are considered less liable to researcher bias and subjectivity than personal interviews or observations because of the absence of the researcher (Bhattacharjee, 2012: 57). Due to the absence of the

researcher, respondents may feel comfortable to respond to sensitive issues, controversial or deviant attitudes or behaviours which they may be reluctant to answer in a face-to-face interview (Babbie and Mouton, 2001: 262). Fourth, self-administered questionnaires enable respondents to complete the questionnaires at convenient times and places and to consult personal records when needed. Finally, self-administered questionnaires may have high response rates if the sampled respondents are well educated and have a keen interest in the research topic (Neuman, 2006: 299).

However, self-administered questionnaires have inherent limitations. First, self-administered questionnaires, especially those sent by electronic mail, often have lower response rates because targeted respondents frequently ignore requests for participation in the survey (Fouché and De Vos, 1998: 128; Strydom, 1998: 185; Bhattacharjee, 2012: 75). For mailed questionnaires, a response rate of 50% is considered as adequate for data analysis and reporting, 60% as good and 70% as excellent (Fouché, 1998: 153; Babbie and Mouton, 2001: 261). Second, due to the absence of the researcher, self-administered questionnaires do not permit respondents to seek clarification on research questions that they do not understand. They also do not permit the researcher to make follow-up questions and probe respondents' written responses. Finally, due to the absence of the researcher there are no mechanisms of ensuring that the self-administered questionnaires are completed by the right respondents (Scott, 1961: 151; Neuman, 2006: 299).

#### **6.3.4.4 Personal interviews**

Personal interviews or face-to-face interviews are a more personalised form of data collection in which the interviewer personally asks respondents questions and records their verbal responses (Bhattacharjee, 2012: 79). The researcher

used follow-up personal interviews to clarify certain data or issues that were unclear from the questionnaire responses. Three personal interviews were conducted with the Ministry Performance Improvement Co-ordinator, one Ambassador and Consul General. Follow-up personal interviews were used to address some of the limitations of self-administered questionnaires such as absence of the researcher in the field.

There are advantages of using interviews in survey research. First, the interview method is flexible, adaptable and can be combined with other data collection methods such as self-administered questionnaires, document analysis and literature review (Bell, 1993: 91; Isaac and Michael, 1995: 140). Second, interviews permit the interviewer to clarify issues that are unclear to interviewees, to probe and follow-up responses provided by the interviewees and to observe the interviewees' feelings or reactions such as the tone of voice, facial expression, and hesitation to answer questions (Bhattacharjee, 2012: 79). Third, the response rates of interviews are relatively higher compared to mail surveys because interview guides are completed on the spot (Bell, 1993: 85; Fouché and De Vos, 1998: 128).

The interview method has the following disadvantages. First, interviews are time-consuming because they require more time for gaining access to the institution and respondents, selecting and interviewing respondents, taking notes and checking their accuracy (Miles, 1979: 596; Bell, 1993: 99 – 100). Second, to conduct effective interviews, the interviewer should have special interviewing skills. Third, interviews may be an uncomfortable experience for both the interviewer and respondents. The interviewer may be uncomfortable to conduct interviews with peers and superiors, especially interviewing senior managers because of their status and power (Bell, 1993: 56, 98). Respondents may not

feel psychologically safe to divulge some sensitive information to an inside-researcher or stranger (Niven, 2003: 163; Bhattacharjee, 2012: 79).

Fourth, interviews are considered highly subjective and thus liable to interviewer, respondent and interpretation bias or response effect (Bell, 1993: 95; Mouton, 1996: 146 - 148). Interviewer bias may arise from the researcher's orientations such as personal prejudices, expectations, attitudes, opinions, beliefs and preconceived ideas and values (Bell, 1993: 111; Mouton, 1996: 151). However, interviewer bias is less severe when the researcher is the only interviewer because bias may be invariable and thus remain unnoticeable (Bell, 1993: 95; Babbie and Mouton, 2001: 368). Although bias is difficult to rule out completely, awareness of methodological weaknesses, sources of bias, the dangers of bias, continuous self-control and adherence to professional ethics of social research assist to guard against well-known methodological errors or biases (Seale, 1999: 465).

Since this is a survey research, the third step involves designing and administering questionnaires.

## **6.4 DESIGNING AND ADMINISTERING QUESTIONNAIRES**

It is worth mentioning that the same procedure used for questionnaire design is followed for preparation for interviews, though with minor variations in some areas (Bell, 1993: 92).

### **6.4.1 Designing the questionnaire**

A well-designed questionnaire is a prerequisite for an empirical study because it provides data that is required, enhances the validity and reliability of the



measuring instrument, improves survey response rate and enables easy processing, analysis and interpretation of data. In designing the questionnaire, the researcher paid careful attention to the following: questionnaire design type, questionnaire instructions, questionnaire purpose, question type, question wording and ordering, questionnaire appearance and layout, questionnaire piloting, distribution and return of questionnaires (Bell, 1993: 75; Bhattacharjee, 2012: 76).

#### **6.4.1.1 Structured questionnaire design**

A structured questionnaire design was used for this study. The researcher used written or standardised questionnaires and interview schedules to collect data. A structured design was selected for both the self-administered questionnaires and follow-up personal interviews because, first and foremost, it allowed the researcher to field the same questions to all respondents which ensured consistency and comparison of data collected. Second, a structured design makes it is easier to aggregate and quantify data and therefore saves a considerable amount of time at the analysis and interpretation stages (Bell, 1993: 93 - 94).

#### **6.4.1.2 Purpose of the questionnaire**

The purpose and importance of the study was explained to respondents through the covering letter that accompanied the self-administered questionnaires. For follow-up interviews, the researcher introduced himself to the interviewees and verbally explained the purpose and importance of the study. A copy of the letter granting the researcher permission to collect data in the Ministry of Foreign Affairs and International Co-operation was attached to the covering letter and carried along for the follow-up personal interviews (see Annexure 4). According

to Bhattacharjee (2012: 82), an endorsement from the chief executive officer of the studied institution (in this case, the Permanent Secretary of the Ministry of Foreign Affairs and International Co-operation) assists to highlight the importance of the study and to improve the researcher's credibility in the eyes of the respondents.

Respondents were also informed that they had been scientifically selected for the study, and that the information they provided will only be used for academic purposes and will be kept confidential. Gregory (2005: 50) argues that respondents "will not reveal their real feelings, opinions, or attitudes about the job, the institutions, their colleagues, the policies they are having to institute, and so on unless confidentiality is assured." According to Bhattacharjee (2012: 82), assurances of confidentiality assist to improve survey response rate.

#### **6.4.1.3 Questionnaire instructions**

Respondents were given detailed and clear instructions to complete the self-administered questionnaires. For the follow-up interviews, the researcher had special instructions that guided him to record personal observations and comments (Bhattacharjee, 2012: 79).

#### **6.4.1.4 Question type**

The types of questions to ask were determined by the aim and objectives of the study. The research questions were formulated based on the eight dimensions of the model of social programmes, which was used as an analytical framework. Both open-ended questions and closed-ended questions were used for this study. Open-ended questions were included in the questionnaire to probe respondents to provide their own answers to the questions posed. In closed-ended questions

or multiple-choice questions, the researcher provided the respondents with answers to choose from in answering the questions. Closed-ended questions are recommended to address the problem of memory decay, especially if the study is undertaken after the event has long taken place. In such instances, respondents may have difficulties to remember or recall certain information about the event, hence the answers provided may jog their memories (Bell, 1993: 79; Mouton, 1996: 153; Babbie and Mouton, 2001: 349).

#### **6.4.1.5 Question wording and ordering**

Question wording was given more attention to ensure that questions are clear, precise and have the same meaning to all respondents (Bell, 1993: 78). To avoid any ambiguity, research questions were written in a language that is simple, clear, understandable and free of jargon, technical terms, slang, and abbreviations that may not be understood by respondents (Neuman, 2006: 278; Bhattacharjee, 2012: 76). Research questions were carefully worded to avoid double questions, leading questions, presuming questions, hypothetical questions, negative questions, and offensive questions (Bell, 1993: 79 – 81; Fouché, 1998: 157; Neuman, 2006: 279; Bhattacharjee, 2012: 77). For personal interviews, the researcher avoided asking questions in such a way that he will lead the interviewees either by emphasis or tone of voice (Bell, 1993: 95 – 96).

To achieve the highest response rate, it is recommended that survey questions should begin with straightforward, easy-to-answer questions and move on to complex and sensitive questions (Bell, 1993: 82; Fouché, 1998: 158; Bhattacharjee, 2012: 78). It is advised that sensitive questions that require personal data such as gender, age, qualifications and income be placed at the end of the questionnaire so that if respondents are offended by those questions and decide to abandon the questionnaire or refuse to be interviewed at that

point, they would have answered all the critical questions (Scott, 1961: 186; Bell, 1993: 81).

#### **6.4.1.6 Questionnaire appearance and layout**

The questionnaire appearance and layout should be neat and tidy, including the covering letter. To improve the questionnaire appearance and layout, it is recommended that questionnaires should be typed, typeface used should be legible, questions should be well-spaced, response boxes should be kept in line towards the right of the sheet, and spaces should be left on the right of the sheet for coding (Bell, 1993: 82).

#### **6.4.1.7 Piloting the questionnaire**

Ideally, all data collection instruments such as the survey questionnaires and interview schedules should be piloted or pretested before they are distributed on a full-scale (Mouton, 1996: 111; Fouché, 1998: 158; Babbie and Mouton, 2001: 368). According to Bell (1993: 84 – 85) and Strydom (1998: 183), the questionnaire should be piloted on a small group of respondents from the same population under study to test or check the following: (1) length of time it takes respondents to complete the questionnaires, (2) clarity of questionnaire instructions, (3) clarity of question wording, (4) sequencing of the questions, (5) possible redundant questions, (6) confusing questions, (7) attractiveness of the questionnaire physical appearance and layout, (8) if the questionnaires yield usable data, (9) questions that might be objectionable to respondents, and (10) questions that might have been omitted from the questionnaires.

A pilot study enables the researcher to detect potential problems in the research design, instrumentation, and to ensure that the measurement instruments yield

usable, reliable and valid data (Bhattacharjee, 2012: 24). It enables the researcher to refine the design and content of the questionnaire (Bell, 1993: 85; Mouton, 1996: 111; Fouché, 1998: 158; Babbie and Mouton, 2001: 368). On this basis, Strydom (1998: 178) argues that the pilot study is a *sine qua non* for the successful execution and completion of an empirical study. A pilot study guides the main study.

The survey questionnaire was piloted at the Botswana High Commission in Pretoria, South Africa, Botswana Consulate in Johannesburg, South Africa, and the Department of Protocol and Consular Services at the Ministry headquarters in Gaborone, Botswana. The questionnaire was also scrutinised by three practitioners who have extensive knowledge of the performance management system of the Botswana public service from the National Strategy Office, and the Public Service Reforms Unit. The comments received from the pilot study were used to improve the questionnaire. One of the improvements that emanated from the pilot study was the suggestion to develop a questionnaire for each level of management.

After a successful pilot study, the researcher distributes the questionnaires to the sampled population.

#### **6.4.1.8 Distribution and return of questionnaires**

The self-administered questionnaires that were distributed were numbered to enable the researcher to identify and trace non-respondents or respondents who provide incomplete information. All completed questionnaires were checked as soon as they were received to ensure that all questions had been answered.

After the researcher has decided on the distribution and return of questionnaires, the next stage is to administer the questionnaires.

#### **6.4.2 Administering the questionnaire**

Before administering the questionnaires and conducting follow-up personal interviews, the researcher sought approval from the Ministry of Foreign Affairs and International Co-operation to undertake the empirical study. The approval was granted on 23 August 2012 (see Annexure 4). After the researcher was granted permission, he sought informed consent from respondents to participate in the study. To obtain informed consent, all respondents were given a participant information leaflet and an informed consent form to complete (see Annexes 7 and 8).

The respondents were given seven days to complete the questionnaires and the return date or deadline was specified in the questionnaires. Deadlines are used in survey research as control devices for respondents. Setting a deadline for receiving completed questionnaires promotes high response rate. The deadline effect results in a surge or increase in completed questionnaires as the deadline nears and a decline as it elapses. A short deadline is recommended rather than a long deadline to get the respondents to quickly complete the questionnaires (Scott, 1961: 177; Webb and Weick, 1979: 654 - 657; Bell, 1993: 86; Babbie and Mouton, 2001: 261).

Notwithstanding the above, setting a deadline for receiving completed questionnaires has two drawbacks. First, it may encourage some respondents who would have preferred to reply early to defer completion until closer to the deadline which may result in some respondents forgetting, losing or misplacing the questionnaires. Second, those who would have replied late may conclude

that there is no use to complete the questionnaires after the deadline (Scott, 1961: 178; Babbie and Mouton, 2001: 261).

To ensure that the respondents had received the questionnaires, they were requested to acknowledge receipt. On the fifth day after the questionnaires had been distributed, respondents were sent a written reminder to submit the completed questionnaires. Another week was set aside to make follow-ups with non-respondents, that is, those who failed to submit questionnaires by the set deadline date. Follow-ups or reminders are very useful in survey research because they assist to raise the response rate (Scott, 1961: 164). As recommended by Scott (1961: 166) and Bell (1993: 86), follow-up requests were accompanied by a second letter and questionnaire in case non-respondents misplaced the first questionnaire. The researcher avoided making many follow-up requests because reluctant respondents generally provide unusable data (Bell, 1993: 102). Bell (1993: 86) considers two weeks a reasonable time period for completion of questionnaires.

After administering the questionnaires and conducting follow-up personal interviews, the data collected has to be analysed and interpreted. Data analysis and interpretation are discussed in Chapter Seven. Trustworthiness of the study findings is critical for any scientific research. There are four criteria used to establish trustworthiness of the study findings of qualitative research.

## **6.5 ESTABLISHING OF TRUSTWORTHINESS**

Trustworthiness requires that the research approaches, instruments and methods used by qualitative researchers should produce valid observations, sound analysis and interpretation of study findings, and generalisable or specific study findings (Bhattacharjee, 2012: 8). The scientific method is the main method of

validating scientific research. It is concerned with the adequacy and accuracy of the research approaches, instruments and methods used in scientific research (Bhattacharjee, 2012: 11).

This study used the four modified criteria developed by Y.S. Lincoln and E.G. Guba (1985) to ensure trustworthiness of the study findings of qualitative research. The four criteria are credibility, transferability, dependability, and confirmability. These four criteria were developed for use by qualitative researchers because of the difficulty to apply the four conventional standards of internal validity, external validity, reliability, and objectivity to qualitative research (Isaac and Michael, 1995: 221; Bhattacharjee, 2012: 112). Bhattacharjee (2012: 57) defined reliability as the extent to which the measure of a construct is consistent or dependable. He defined validity or construct validity as the extent to which a measure actually measures a construct that it is expected to measure. Internal validity refers to causality (the link between cause and effect), while external validity refers to generalisability of study findings (Bhattacharjee, 2012: 59).

### **6.5.1 Credibility**

Credibility refers to the extent to which the study findings are believable and convincing. There are five techniques that are generally used to enhance the credibility of study findings of qualitative research, namely integrity of the observations, peer debriefing, negative case analysis, referential adequacy, and member checks. The first technique of integrity of the observations involves prolonged engagement, persistent observation, and triangulation. Prolonged engagement with the case study institution, its context, and respondents is necessary to gain in-depth understanding of the studied institution, its culture, language, norms, politics, and values, and to establish trust and good rapport



with the respondents and gatekeepers (Bell, 1993: 56; Isaac and Michael, 1995: 221 - 222; Babbie and Mouton, 2001: 277; Bhattacharjee, 2012: 112). The researcher has more than ten years working for the Ministry of Foreign Affairs and International Co-operation.

As an inside-researcher, this researcher is well-known to the respondents and gatekeepers, which enabled him to obtain permission to conduct the study, and to build trust and rapport with the respondents. As already mentioned, the researcher was granted permission to collect data from the Ministry headquarters and the twenty-one Botswana diplomatic missions abroad on 23 August 2012. Before conducting the study, the researcher sent a covering letter explaining the purpose of the study, and sought informed consent from the respondents.

Persistent or continuing observation is done to ensure that most important and atypical events are captured (Isaac and Michael, 1995: 222). The researcher took field notes to record observations. Isaac and Michael defined triangulation as using different sources, methods, and investigators to confirm study findings. This study used triangulation by multiple methods of data collection, namely literature review, document analysis, questionnaires, and follow-up personal interviews (see *supra* 6.3.4).

The second technique used to enhance the credibility of study findings of qualitative research is peer debriefing. According to Isaac and Michael (1995: 222), peer debriefing involves engaging an independent expert reader to ask probing questions, to play the devil's advocate, and to examine the adequacy of the approaches, instruments and methods used. This study used three independent expert readers from the National Strategy Office and the Public Service Reforms Unit. The three independent expert readers have extensive knowledge of the performance management system of the Botswana public

service. The survey questionnaire was piloted to improve its reliability and validity as a measuring instrument. Moreover, the promoters Professor E.J. Van der Westhuizen and Professor G. Naidoo acted as authoritative readers of this thesis. They are experts on the study topic.

The third technique used to enhance the credibility of study findings of qualitative research is negative case analysis. This technique involves revising or recasting hypotheses through the application of hindsight until the hypotheses match the observed reality or account for all known cases without exception (Isaac and Michael, 1995: 222). Negative case analysis enhances the credibility of the study findings and conclusions by adding quality and depth.

The fourth technique used to enhance the credibility of study findings of qualitative research is referential adequacy. Referential adequacy requires the researcher to maintain documentation on data management and analysis procedures such as recording and banking unanalysed raw data, and keeping accurate records of contacts and interviews, verbatim interview transcripts, and notes on theoretical and methodological decisions in order to allow an independent audit of data collection and analysis (Isaac and Michael, 1995: 222; Bhattacharjee, 2012: 112). The archived data will be examined to determine if it matches the tentative or emerging findings from the main data sources. For this study, field notes were used to record data.

The fifth technique is member checks. According to Isaac and Michael (1995: 222), this is the most critical technique of establishing credibility. Member checks involve the representativeness of the sample. It is important that the sample must be representative of the total or whole population. A representative sample should have the same characteristics of the larger population. Representativeness of the sample allows generalisation to the whole population

(Bell, 1993: 11; De Vos, 1998: 42; De Vos and Fouché, 1998: 99; Strydom and De Vos, 1998: 193). The size of the sample must be large to allow generalisation to the whole population. This study used purposive or purposeful sampling which is most appropriate for qualitative research such as the current study (Isaac and Michael, 1995: 223; De Vos, 1998: 46).

### **6.5.2 Transferability**

Transferability refers to the extent to which the study findings in one setting can be applied or transferred or generalised to other contextually similar settings (Isaac and Michael, 1995: 221; Babbie and Mouton, 2001: 277; Bhattacharjee, 2012: 112). That is, the relatability or similarities between the original study and its context and any other settings, groups or institutions in a similar situation (Isaac and Michael, 1995: 223). This study ensured transferability by using the case study approach.

### **6.5.3 Dependability**

Dependability refers to the extent to which the study findings and conclusions are consistent or similar if the study were to be repeated with the same or similar respondents in the same or similar contextual setting. This study used triangulation of research methods and data sources and peer debriefing to confirm the study findings and conclusions and to enhance the accuracy and integrity of the data (Isaac and Michael, 1995: 223; Babbie and Mouton, 2001: 278; Bhattacharjee, 2012: 112).

#### **6.5.4 Confirmability**

Confirmability refers to the extent to which the study findings can be independently confirmed by other researchers (Bhattacharjee, 2012: 112). Isaac and Michael (1995: 221) defined confirmability as the extent to which the research process and methods of data collection and analysis are accurate. According to Isaac and Michael (1995: 223), confirmability deals with the comprehensive examination or auditing of the entire scientific inquiry from the beginning to the end by checking, reconstructing, and evaluating the audit trail of data and records to determine the adequacy of the study. The researcher ensured confirmability by documenting the stages of the research process from conceptualisation to operationalisation, and methods of data collection and analysis.

There are ethical principles that guide scientific research involving human subjects.

### **6.6 ETHICAL CONSIDERATIONS**

The direct personal involvement of the researcher in the daily lives of respondents raises ethical issues in scientific research (Neuman, 2006: 412). The following ethical principles were taken into consideration to safeguard the rights of respondents: disclosure, voluntary participation and harmlessness to respondents, confidentiality, and professionalism (Bhattacharjee, 2012: 135).

#### **6.6.1 Disclosure**

The researcher upheld ethical principles throughout the research. The researcher disclosed to the Ministry of Foreign Affairs and International Co-operation that he

is a registered doctoral student with the University of South Africa. The researcher applied for a research permit from the Ministry after the research proposal was approved (see Annexure 1). The application for a research permit was approved on 5 March 2010 (see Annexure 2).

Before the data collection phase commenced, the researcher applied for permission to conduct this study and collect data from the Ministry, including the Botswana diplomatic missions abroad (see Annexure 3). Permission to conduct this study and collect data from the Ministry was granted on 23 August 2012 (see Annexure 4). Ethics clearance was sought from the Research Ethics Committee of the Department of Public Administration and Management of the University of South Africa and was granted on 30 January 2014 (see Annexure 5).

Ideally, the researcher should disclose the study to authorities and respondents in order to gain entry and access to the research site, obtain informed consent, to build trust and rapport with respondents, and to respect respondents' basic human rights. Covert research is justified only in few exceptional cases that involve deviant, illegal, immoral, and unethical conduct (Babbie and Mouton, 2001: 293; Neuman, 2006: 413; Bhattacharjee, 2012: 137).

#### **6.6.2 Voluntary participation and harmlessness to respondents**

The researcher informed respondents that their participation in the study was voluntary and that they had the right to withdraw from it at any point in time without any adverse consequences (Bhattacharjee, 2012: 132). To ensure adherence to the voluntary participation principle and to obtain informed consent, respondents were provided with participant information leaflets and informed consent forms to complete. The participant information leaflet provided

information on the study; its purpose and potential benefits to respondents and the case study institution (see Annexure 7).

The informed consent form outlined the rights of the respondent such as the right to participate or non-participate in the study, and the right to withdraw from it at any time without any harm or risks to the respondent (see Annexure 8). Bhattacharjee (2012: 133) advises that researchers should keep informed consent forms for a period of at least three years after the completion of the data collection process in order to comply with the norms of scientific research.

### **6.6.3 Confidentiality**

The principle of confidentiality was used to protect the identities (names) and integrity of respondents taking part in the study. It was also used to encourage respondents to provide truthful responses by guaranteeing confidentiality of information provided (Neuman, 2006: 413; Bhattacharjee, 2012: 133). To ensure confidentiality, all self-administered questionnaires that were mailed were numbered to conceal the identities of respondents. The completed questionnaires were sent directly to the researcher's electronic mail or fax to e-mail. The survey data was aggregated rather than reported individually. Finally, any information that could identify respondents was kept secret and will be destroyed when no longer required.

### **6.6.4 Professionalism**

There are professional norms and values (ethical behaviours) that researchers should adhere to in any scientific research. The researcher avoided the following ethical violations. First, the researcher avoided plagiarism by acknowledging the sources used in this study. Second, the researcher avoided fabricating or

falsifying data, research procedures, and data analysis and reporting by backing his findings and conclusions with evidence and facts (Bhattacharjee, 2012: 136). Third, the limitations of the study were disclosed. Fourth, a copy of the thesis will be provided to the case study institution. Finally, the research findings will be published in an academic journal to share knowledge with the scientific community at large. According to Neuman (2006: 11), research findings should be made publicly available. This is considered important for the gradual progress of science (Bhattacharjee, 2012: 25).

The research data need to be handled with great care to protect confidentiality and integrity of respondents.

## **6.7    STORING AND DESTROYING OF DATA**

Research data will be stored in a high security safe in the researcher's office and this safe will only be accessible to the researcher. To ensure data security and confidentiality, data stored on the computer will be protected by the use of password.

Data will be destroyed when it is no longer of functional value. This is projected to be five (5) years from the date of publication of this study. Records stored on a computer hard drive will be erased using commercial software designed to remove all data from the storage device. The universal serial bus (USB) drive will be physically destroyed. A record, stating what records were destroyed, when and how the researcher did so, will also be kept.

## **6.8 CONCLUSION**

This chapter discussed the research design and methodology of this study. Research design was defined as a plan or blueprint or strategy for conducting the empirical study. Research methodology was defined as the various methods, techniques, and procedures used for data collection, analysis and interpretation, and sampling. A mixed methods research design was chosen for this study. Mixed methods research was defined as a research design that combines both qualitative and quantitative approaches, methodologies, techniques and paradigms in a single study in order to have an in-depth understanding of the research problem. The following two qualitative research methodologies were selected for this study, namely case study method and evaluation research. The quantitative research methodology that was chosen for this study was a survey method.

This study was undertaken for exploratory, descriptive and explanatory purposes. A multi-paradigmatic approach was adopted for this study. Multiple perspectives were used such as the post-positivism paradigm; insider perspective; and deductive or logical reasoning. These perspectives are based on naturalistic and qualitative approaches and subjective interpretations of respondents and are therefore rooted in the interpretivist paradigm.

The research sites for this study were the Ministry of Foreign Affairs and International Co-operation headquarters and the twenty-one Botswana diplomatic missions abroad. The target population for this study was the staff members of the Ministry of Foreign Affairs and International Co-operation headquarters and the twenty-one Botswana diplomatic missions abroad. The Ministry of Foreign Affairs and International Co-operation Diplomatic Directory for 2012 was used as a sampling frame. The population of this study was 90



representing 27 respondents from the Ministry headquarters and 63 from the Botswana diplomatic missions abroad. A purposive or purposeful sampling strategy was used to select respondents.

This study used four data collection instruments, namely literature review, document analysis, self-administered questionnaires, and follow-up personal interviews. An elaborate process was followed to design and administer questionnaires and to conduct follow-up personal interviews. The researcher carefully designed the questionnaire by paying particular attention to the following: questionnaire design, questionnaire instructions, questionnaire purpose, question type, question wording and ordering, questionnaire appearance and layout, questionnaire piloting, distribution and return of questionnaires. Ethical procedures for conducting an interview were followed. This study used the four criteria of credibility, transferability, dependability, and confirmability to ensure trustworthiness of the study findings.

The researcher followed ethical principles for safeguarding the rights of respondents such as disclosure, voluntary participation and harmlessness to respondents, confidentiality, and professionalism. Research data was properly handled by being stored in a high security safe in the researcher's office and by protecting the data stored on computer through the use of password. Data will be destroyed when it no longer has functional value.

The next chapter deals with data analysis and interpretation.

## **CHAPTER 7**

### **ANALYSIS AND INTERPRETATION OF RESEARCH DATA COLLECTED BY QUESTIONNAIRES AND FOLLOW-UP PERSONAL INTERVIEWS**

#### **7.1 INTRODUCTION**

Chapter Six discussed the research design and methodology. Chapter Seven analyses and interprets the research data that was collected to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. As indicated in the previous chapter, this study used four data collection instruments, namely literature review, document analysis, questionnaires, and follow-up personal interviews.

Self-administered questionnaires and follow-up personal interviews were used to collect primary data from the staff members of the Ministry of Foreign Affairs and International Co-operation. The data was complemented by the literature review and document analysis which were also used to collect data that could not be obtained through self-administered questionnaires and follow-up personal interviews. Finally, the literature review and document analysis were used to validate the data collected through self-administered questionnaires and follow-up personal interviews.

This chapter defines data analysis and interpretation, discusses the response rate of the survey research, describes the demographic profile of respondents, and discusses the study findings and interpretations. For the sake of brevity, this chapter combines qualitative and quantitative data analysis and interpretation.

## 7.2 DATA ANALYSIS

According to De Vos and Fouché (1998: 203), data analysis involves the break down of research data into constituent parts to provide answers to research questions. These two authors also define data analysis as the categorising, ordering, manipulating and summarising of research data to provide answers to research questions. Data analysis entails three steps, namely data reduction, data display and verification. As explained by De Vos and Fouché, data reduction entails reducing data "to an intelligible and interpretable form so that the relations of research problems can be studied, tested and conclusions drawn."

For the raw data to be analysed, it has to be placed in categories. Categories of data were grouped according to the eight dimensions of the model of social programmes, which was used as an analytical framework for this study. These categories enabled the researcher to classify questionnaire and interview responses, identify similarities and differences, themes, patterns or trends, items of significant importance and to collate the study findings (Bell, 1993: 127; De Vos, 1998: 48). Patterns emerging from the data were matched with patterns in the model of social programmes (Babbie and Mouton, 2001: 283).

The data that was collected from the self-administered questionnaires and follow-up personal interviews was transcribed, coded, analysed and presented in tables, numbers and percentages so that it is easily understood (Bell, 1993: 125; Brynard and Hanekom, 1997: 51). Data verification refers to checking the accuracy or reliability and validity of data collected (Babbie and Mouton, 2001: 290). For this study, the data collected from self-administered questionnaires and follow-up personal interviews was compared with data collected through the literature review and document analysis. Comparisons were made with Botswana government official records such as sectoral chapters on the Ministry of Foreign

Affairs and International Co-operation in national development plans and mid-term reviews of national development plans; organisation and methods review reports; consultancy studies; budget vote speeches or statements to the Botswana Parliament by the Minister of Foreign Affairs and International Co-operation; and the Ministry's quarterly newsletter.

The research data can either be analysed manually or by computer (De Vos and Fouché, 1998: 203). For this study, the data was analysed manually using a calculator to obtain simple statistical analyses (numbers and percentages). For relatively small studies such as this study that involve fewer amounts of data and a small sample of 90 respondents, simple or manually statistical analyses are recommended, while complex computational statistical analyses such as Statistical Package for Social Sciences are recommended for studies that involve huge amounts of data and large samples of 300 or more respondents (De Vos and Fouché, 1998: 222). Due to the qualitative nature of this study and small population size, simple descriptive statistical analyses were used for data analysis and interpretation. Data analysis precedes data interpretation.

### **7.3 DATA INTERPRETATION**

Data interpretation means explanation of study findings or finding meaning of the results of the data analysis (De Vos and Fouché, 1998: 203). It is basically concerned with interpreting study findings. In itself, data analysis does not provide meaning to the research questions. Data interpretation is critical to draw conclusions regarding the research questions (Bhattacharjee, 2012: 25). The researcher followed the following key steps to carry out data collection, analysis and interpretation. The first step involved formulating appropriate research questions to be answered by the respondents using self-administered questionnaires. The types of questions to ask were determined by the research

aim and objectives of the study as described in Chapter One (see *supra* 1.4). The research questions were formulated based on the eight dimensions of the model of social programmes. These dimensions were used as analytical categories of this study and they guided data collection (gathering of evidence), presentation, analysis, and interpretation of study findings.

The second step involved the distribution of the self-administered questionnaires to the target population of 90 respondents. These questionnaires were distributed to respondents using the Ministry of Foreign Affairs and International Co-operation intranet. The respondents were given seven days to complete the questionnaires and the return date or deadline was specified. Each questionnaire that was distributed was accompanied by a covering letter, participant information leaflet, and informed consent form. The covering letter introduced the researcher to respondents and explained the purpose and importance of the study. The participant information leaflet provided information on the purpose of the study, research procedure followed, potential benefits of the study, research risks and discomfort, rights of the respondent, approval to conduct the study, and contact details of the researcher and supervisors. The informed consent form required the respondent to make an undertaking that he or she volunteered to participate in this study (see *supra* 6.4.1.8 and 6.4.2).

The third step involved arranging follow-up interviews to clarify certain data or issues that were unclear from the responses of self-administered questionnaires. The research data that was collected through self-administered questionnaires and follow-up interviews was recorded. The fourth step entailed reading and analysing questionnaire and interview transcripts or responses in order to identify similarities and differences, themes, patterns or trends, items of significant importance and to collate the study findings (Bell, 1993: 127; De Vos, 1998: 48). In step five, the reading of the questionnaire and interview transcripts was

repeated in order to identify central themes and suitable headings and sub-headings. In step six, the identified main themes were grouped together to allow discussion, analysis and interpretation of study findings. The last step involved the compilation of the thesis (academic writing).

For survey research, it is important that the response rate from the respondents should be adequate for data analysis and reporting.

#### **7.4 RESPONSE RATE**

As of 23 August 2013, the Ministry of Foreign Affairs and International Co-operation had an established workforce of 526 (Republic of Botswana, Computerised Personnel Management System – Manpower Planning, Budgeting and Research, Employment Levels Report, 2013a: 1). The target population for this study was 90 representing 27 respondents from the Ministry headquarters and 63 from the Botswana diplomatic missions abroad. Purposive sampling was used as a sampling technique or strategy. As explained in Chapter Six (see *supra* 6.3.3), purposive sampling refers to a sampling method in which the selection of respondents is purposive or judgemental rather than random. The researcher purposively selected respondents who were knowledgeable about the performance management system in order to obtain rich data or adequate answers to the research questions. To ensure sample comprehensiveness and representativeness, respondents were drawn from all the three levels of management, that is, senior, middle and junior management.

According to the Public Service Act of 2008 (Act Number 30 of 2008), senior management refers to Botswana public service officers who are appointed by the Permanent Secretary to the President (head of the Botswana public service) or by the President of Botswana. These are public service officers who are serving

in executive cadre positions which start from E2 to F salary scales of the Botswana public service grading structure. In terms of this study, respondents at the Permanent Secretary, Deputy Permanent Secretary, Director, Ambassador and High Commissioner, and Deputy Ambassador and High Commissioner levels fall in senior management.

Middle management refers to public service officers who are serving in non-executive cadre positions which start from D4 to D1 salary scale. Respondents at Deputy Director, Minister Counsellor, Assistant Director, and Counsellor levels fall in middle management. Junior management refers to officers who are serving in non-executive cadre positions which start from C3 to C1 scale. C3 to C1 scales are entry grades to the Botswana public service for officers holding bachelor degrees. Respondents at Foreign Affairs Officer I, Foreign Affairs Officer II, Foreign Affairs III, First Secretary, Second Secretary, and Third Secretary levels fall in junior management.

The analyses and interpretations of research data are based on self-administered questionnaires completed and returned and follow-up interviews conducted with the staff at the Ministry headquarters and twenty-one Botswana diplomatic missions. Out of the 90 questionnaires that were distributed, 49 were completed and returned, representing an overall response rate of 54%. This response rate was considered adequate given the low response rates of mailed questionnaires. Generally, a response rate of 15 to 20% is common in a mail survey, even after two or three reminders (Bhattacharjee, 2012: 81). For mailed questionnaires, a response rate of 50% is considered as adequate for data analysis and reporting, 60% as good and 70% as excellent (Fouché, 1998: 153; Babbie and Mouton, 2001: 261).

There were three follow-up interviews that were conducted with the Ministry Performance Improvement Co-ordinator, Consul General, and Ambassador to clarify data or issues that were unclear from the responses of self-administered questionnaires. Only three follow-up personal interviews were conducted because most of the research questions were adequately answered through the self-administered questionnaires. A sample of three to six participants is considered acceptable or adequate for qualitative research (Morgan and Sklar, 2012: 74). The follow-up personal interviews assisted to clarify issues that lacked clear-cut answers or responses. The few issues that required further clarity were the following: whether work divisions, units and departments of the Ministry of Foreign Affairs and International Co-operation had their own vision, mission and value statements (question 6); and the appointment of performance improvement co-ordinators (question 32.1).

The response rate from the questionnaire survey is shown in Table 7.1 below.

As shown in Table 7.1, a total of 90 questionnaires were distributed to respondents at the Ministry of Foreign Affairs and International Co-operation headquarters and twenty-one Botswana diplomatic missions abroad. For the Ministry's headquarters, 27 questionnaires were distributed out of which 14 were returned making an overall response rate of 51.9%. Out of the nine questionnaires distributed to senior management, two were returned representing a response rate of 22.2%. For the nine questionnaires distributed to middle management, seven were returned resulting in a response rate of 77.8%. Out of the nine questionnaires distributed to junior management, five were returned representing a response rate of 55.6%.



**Table 7.1 Response rate**

RESEARCH SITE	LEVEL OF MANAGEMENT	NUMBER OF QUESTIONNAIRES DISTRIBUTED	NUMBER OF RETURNED QUESTIONNAIRES	RESPONSE RATE
Ministry headquarters	Senior management	9	2	22.2%
	Middle management	9	7	77.8%
	Junior management	9	5	55.6%
<b>Total</b>		<b>27</b>	<b>14</b>	<b>51.9%</b>
Botswana diplomatic missions abroad	Senior management	21	9	42.9%
	Middle management	21	17	81%
	Junior management	21	9	42.9%
<b>Total</b>		<b>63</b>	<b>35</b>	<b>55.6%</b>
<b>Grand total</b>		<b>90</b>	<b>49</b>	<b>54%</b>

63 questionnaires were distributed to the twenty-one Botswana diplomatic missions abroad. Out of the 63 questionnaires, 35 were returned making an overall response rate of 55.6%. Out of the 21 questionnaires distributed to senior management, nine were returned which is an equivalent of 42.9% response rate. From the 21 questionnaires distributed to middle management, 17 were returned which is a response rate of 81%. For the 21 questionnaires distributed to junior management, nine were returned making a response rate of 42.9%.

The overall response rate was higher for those in middle management because most of the officers in this category serve as Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-

ordinators at the Ministry headquarters and Botswana diplomatic missions abroad, respectively. The implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation lies with them. For this reason, the research problem may have been practically relevant to their work and thus prompting them to participate in this study.

The lowest response rate was recorded at senior management level. This was probably so because officers at the Permanent Secretary, Deputy Permanent Secretary, Director, Ambassador and High Commissioner levels are subjected to frequent interviews by local and international media. The Department of Public Relations, Research and Information of the Ministry of Foreign Affairs and International Co-operation regularly organises press interviews for officials in senior management on Radio Botswana programmes such as "Around the World Today" and "Foreign Window." During the conduct of this study from April to June 2013, six officials in senior management were interviewed on these two Radio Botswana programmes. Probably because of these interviews and work pressures, some respondents in senior management were unable to complete questionnaires.

The response rate was also lower for junior management. This was probably so because general knowledge and understanding of the performance management system by some officers at this level is very low as attested to by some respondents who participated in this study. Another possible reason is that the questionnaire required detailed responses or explanations and this may have discouraged some of the target population from completing the questionnaire.

An overall response rate of 54% was attained because of the following reasons. 22 (24%) of the target population ignored the invitation and the two reminders to participate in this study. Eight (9%) of the target population at the Ministry of

Foreign Affairs and International Co-operation headquarters were unable to complete the questionnaires due to engagements in Public Service Day celebrations. These celebrations are held annually in accordance with the United Nations General Assembly resolution 57/277, which designated 23 June as United Nations Public Service Day to celebrate the value and virtue of the public service to the community; highlight the contribution of the public service in development; recognise the work of public servants; and to encourage young people to pursue careers in the public sector.

The 2013 Public Service Day celebrations<sup>24</sup> were held in Gaborone, Botswana from 13 to 14 June under the theme “E-government: the key to effective and efficient service delivery.” Six (7%) of the target population felt they were incompetent to complete the questionnaires. They felt the questionnaires could be best answered by the Ministry Performance Improvement Co-ordinator, Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators. Five (6%) of the target population stated that they were unable to complete the questionnaires due to tight work schedule.

The next section considers the demographic profile of the 49 (54%) of the respondents who participated in this study.

## **7.5 DEMOGRAPHIC PROFILE OF RESPONDENTS**

The demographic profile of the respondents was recorded and it captured the respondents' gender, age, salary scale, number of years in current position, total work experience, and highest level of education. Table 7.2 shows the gender of the respondents.

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<sup>24</sup> Republic of Botswana. 2013b. Public Service Day Celebrations. Press Release by the Directorate of Public Service Management. 23 April.

**Table 7.2 Gender of respondents**

<b>GENDER</b>	<b>NUMBER OF RESPONDENTS</b>	<b>PERCENTAGE</b>
Male	32	65%
Female	17	35%
<b>TOTAL</b>	<b>49</b>	<b>100%</b>

As indicated in Table 7.2, out of the 49 respondents, 32 (65%) were male and 17 (35%) were female. This reflects male dominance in the diplomatic profession. Out of the twenty-one heads of Botswana diplomatic missions abroad (Consul General, Ambassadors and High Commissioners), 14 (67%) are male and the remaining seven (33%) are female. Out of the nine executive officers (those holding positions of Permanent Secretary, Deputy Permanent Secretary, and Director) at the Ministry headquarters, five (56%) are male and four (44%) are female.

According to the Botswana Institute for Development Policy Analysis and United Nations Economic Commission for Africa (2006: 29, 172), the composition of top Botswana public service posts is overwhelmingly male. As of June 2002, there were 1, 236 women holding top public service positions (that is, from D4 to F0 salary scales), which represented about 40% of top public service positions. Men held 1, 839 senior government positions, which constituted about 60%. Globally, there are fewer women than men in senior management positions. It is estimated that women hold about 15% of chief executive jobs and 17% of board seats in the United States of America (Ignatius, 2013: 12). Table 7.3 depicts the ages of respondents.

**Table 7.3 Ages of respondents**

<b>AGE</b>	<b>NUMBER OF RESPONDENTS</b>	<b>PERCENTAGE</b>
25 – 29 years old	1	2%
30 – 34 years old	11	22.4%
35 – 39 years old	16	32.6%
40 – 44 years old	5	10.2%
45 – 49 years old	8	16.3%
50 – 54 years old	5	10.2%
55 – 59 years old	2	4.1%
60 – 64 years old	1	2%
<b>Total</b>	<b>49</b>	<b>99.8%</b>

As shown in Table 7.3, the majority of the respondents 16 (32.6%) were in the 35 to 39 age bracket, followed by the 30 to 34 who were 11 (22.4%), 45 to 49 who numbered eight (16.3%), and 40 to 44 and 50 to 54 who both had five (10.2%), respectively. There was only one (2%) respondent in the 25 to 29 age bracket and only one (2%) in the 60 to 64. Overall, 33 (67%) of the respondents were 44 years old and below, while 16 (33%) of the respondents were 45 years old and above. This shows that the Ministry of Foreign Affairs and International Co-operation has a young workforce and most of the respondents were in their mid-careers. Similarly, Botswana has a relatively young population (Republic of Botswana, The Draft National Development Plan 10, 2009a: 19). Table 7.4 shows the salary scales of the respondents.

**Table 7.4 Salary scales of respondents**

<b>SALARY SCALE</b>	<b>NUMBER OF RESPONDENTS</b>	<b>PERCENTAGE</b>
C3 – C1	14	28.6%
D4 – D1	24	49%
E2 and above	11	22.4%
<b>TOTAL</b>	<b>49</b>	<b>100%</b>

As shown in Table 7.4, 24 (49%) of the respondents were in the D4 to D1 salary scale (middle management), followed by those in the C3 to C1 salary scale (junior management) who numbered 14 (28.6%) and E2 and above (senior management) with 11 (22.4%). As already explained in Section 7.4, the overall response rate was higher for respondents in middle management, followed by those in junior management, while senior management had the lowest response rate. Table 7.5 depicts the respondents' number of years in current position.

**Table 7.5 Respondents' number of years in current position**

<b>SALARY SCALE</b>	<b>NUMBER OF YEARS IN CURRENT POSITION</b>	<b>NUMBER OF RESPONDENTS</b>	<b>PERCENTAGE</b>
C3 – C1	4 years and below	8	16.3%
	5 – 9 years	6	12.2%
D4 – D1	4 years and below	21	42.9%
	5 – 9 years	2	4.1%
	10 – 14 years	1	2%
E2 and above	4 years and below	9	18.4%
	5 – 9 years	2	4.1%
<b>TOTAL</b>		<b>49</b>	<b>100%</b>

As depicted in Table 7.5, the highest number of respondents had served four years and below in their current positions. There were 21 (42.9%) of the respondents in the D4 to D1 salary scale who had served four years and below in their current positions, followed by nine (18.4%) respondents in the E2 and above salary scale, and eight (16.3%) respondents in the C3 to C1 scale. There were six (12.2%) of the respondents in the C3 to C1 salary scale who had served 5 to 9 years in their current positions, followed by two (4.1%) in both the D4 to D1 and E2 and above salary scales. There was only one (2%) respondent in the D4 to D1 salary scale who had served 10 to 14 years in the current position.

Overall, 38 (77.6%) of the respondents had served four years and below in their current positions reflecting frequent staff movements between the Ministry headquarters and Botswana diplomatic missions abroad, and between the missions. The Ministry of Foreign Affairs and International Co-operation normally transfers its officers every four years (Republic of Botswana, General Orders Governing the Conditions of Service of the Botswana Public Service, 1996: 100). As a result, many respondents were unable to answer some of the questions about the Ministry, departments and Botswana diplomatic missions abroad because of newness to their positions and lack of institutional memory. Consequently, there were some questions that received high numbers of “do not know” responses. Question 30 had 25 (51%) respondents who indicated that they do not know the answer, while question 29 had 20 (40.8%) respondents, and question 11 had nine (18.4%) respondents. Table 7.6 shows the total work experience of the respondents at the Ministry of Foreign Affairs and International Co-operation.

**Table 7.6 Total work experience of the respondents**

<b>TOTAL WORK EXPERIENCE</b>	<b>NUMBER OF RESPONDENTS</b>	<b>PERCENTAGE</b>
4 years and below	7	14.3%
5 – 9 years	14	28.6%
10 – 14 years	15	30.6%
15 – 19 years	5	10.2%
20 – 24 years	6	12.2%
30 – 34 years	1	2%
35 years and above	1	2%
<b>Total</b>	<b>49</b>	<b>99.9%</b>

As shown in Table 7.6, the highest number of respondents 15 (30.6%) had worked for the Ministry of Foreign Affairs and International Co-operation for 10 to 14 years, followed by 5 to 9 years with 14 (28.6%) respondents, 4 years and below with seven (14.3%), 20 to 24 years with six (12.2%), 15 to 19 years with five (10.2%), and 30 to 34 years and 35 years and above each with one (2%). Overall, 42 (86%) of the respondents had 5 years and more total work experience at the Ministry, while only seven (14%) of the respondents had worked for the Ministry for 4 years and below. This shows that most of the respondents had worked in the Ministry for a reasonable time period that would enable them to adequately answer the research questions.

Table 7.7 shows the academic qualifications (educational levels) of respondents.



**Table 7.7 Respondents' academic qualifications**

ACADEMIC QUALIFICATION	NUMBER OF RESPONDENTS	PERCENTAGE
Diploma	1	2%
Degree	36	73.5%
Master's degree	12	24.5%
<b>TOTAL</b>	<b>49</b>	<b>100%</b>

As shown in Table 7.7, the highest number of respondents 36 (73.5%) had bachelors degrees, followed by those with masters degrees with 12 (24.5%) and one (2%) respondent with diploma. This shows that the Ministry of Foreign Affairs and International Co-operation has a qualified and educated workforce. The entry qualification for career diplomats is a bachelor's degree.

The next section discusses study findings and interpretations using the model of social programmes.

## **7.6 DISCUSSIONS AND INTERPRETATIONS**

The interpretations are discussed in terms of the eight dimensions of the model of social programmes, namely clearly defined programme goals and objectives; target group; explicit outcome measures; programme components; programme infrastructure; human resource base; programme stakeholders; and programme context.

### **7.6.1 Dimension 1: Programme goals and objectives**

The research questions asked under this dimension sought to determine whether Botswana's foreign policy goals and objectives were clearly stated and defined,

alignment of individual and institutional objectives, and whether objectives had appropriate performance measures. The research questions also sought to find out whether the Ministry of Foreign Affairs and International Co-operation had vision, mission and value statements, strategic plans, annual performance plans, performance agreements, and performance and development plans.

#### **7.6.1.1 Clarity of foreign policy goals and objectives**

Clarity of foreign policy goals and objectives is considered as one of the success factors of the implementation of the performance management system in the ministries of foreign affairs (Rana, 2011: 15). It is generally agreed in the performance management literature that good and effective goals and objectives are applied to the following acronym: SMART which stands for **S**pecific, **M**easurable, **A**greed, **R**ealistic, and **T**ime-bound (Bricker, 1992: 70; Armstrong and Baron, 1998: 290 – 291; International Records Management Trust, 1999: 36; de Waal, 2007: 78). Question 1 asked respondents to state whether the foreign policy goals and objectives of the Ministry of Foreign Affairs and International Co-operation met the SMART checklist or not. Overall, 29 (59.2%) respondents stated that the Ministry's foreign policy goals and objectives were unclear and ambiguous, while 20 (40.8%) indicated that the Ministry's foreign policy goals and objectives were clear and specific.

The majority of the respondents stated that the foreign policy goals and objectives of the Ministry did not meet the SMART checklist because of the difficulty to define and measure diplomatic work, the difficulty to develop appropriate performance measures for the Ministry's work, and the difficulty to achieve the performance outputs or outcomes within an annual performance plan. As one respondent in senior management observed, "the timeframe of

measuring success is not the conventional one. You have to observe over a longer period of time."

Similarly, one respondent in middle management buttressed this point by noting that "the nature of the Ministry's work is such that measurement is not always possible, at least within the time periods stipulated." As explained below, it is difficult to develop quantitative measures and targets for most of the objectives of the Ministry of Foreign Affairs and International Co-operation. The objectives relating to the management of foreign relations, and promotion of democracy, peace and security, human rights, and good governance could only be stated qualitatively or textually (Rana, 2011: 173).

Historical records showed that the Ministry of Foreign Affairs and International Co-operation started to systemically define and document foreign policy goals and objectives in February 1987. Prior to this date, there was no record of foreign policy goals and objectives, and general awareness, knowledge and clarity of foreign policy goals and objectives was generally blurred depending on the different levels of training of the Foreign Service staff (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 16). Generally, ministries of foreign affairs and diplomatic missions abroad provide limited public services that are easily measurable. These include protocol and consular services such as the number of visas, work and resident permits issued and other routine public services such as response or turnaround times to inquiries, correspondence, complaints, service requests for information, and the number of high-level visits facilitated (Republic of Botswana, Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries, 2003b: 21).

Mostly, ministries of foreign affairs and diplomatic missions abroad deal with intangibles such as management of relations with foreign countries and international organisations, problem solving, promoting national interests abroad, and providing policy advice. Foreign policy goals and objectives such as promotion of democracy, human rights, and good governance are constantly evolving and difficult to quantify (Rana, 2011: 24). Rana (2011: 185) argued that the dictum “if it cannot be measured, it should not be done” is irrelevant to ministries of foreign affairs because the bulk of important diplomatic work is unquantifiable. As a result of performance measurement challenges, the ministries of foreign affairs and diplomatic missions abroad are often evaluated indirectly and subjectively using proxy measures such as the number of tourists and foreign direct investment attracted (Rana, 2011: 173).

As indicated in Chapter Two (see *supra* 2.5), individual performance objectives should be aligned with departmental and institutional objectives. The alignment of objectives is one of the key tasks for performance management (Chartered Institute of Personnel and Development, 2009: online).

#### **7.6.1.2 Alignment of individual and institutional objectives**

In order to enhance institutional performance and effectiveness, it is imperative that individual performance objectives be aligned with departmental and ministerial strategic objectives (Armstrong and Baron, 1998: 51). Question 2 asked respondents to state whether their individual performance objectives were aligned to their respective departments and the Ministry of Foreign Affairs and International Co-operation’s strategic objectives. 33 (67.3%) of the respondents stated that their individual performance objectives were aligned with their respective departments and the Ministry’s strategic objectives, while 16 (32.7%) respondents indicated that their individual performance objectives were

misaligned with their respective departments and the Ministry's strategic objectives.

The respondents who answered that their individual performance objectives were aligned with their respective departments and the Ministry's strategic objectives justified their answer by noting that each year; the Ministry of Foreign Affairs and International Co-operation and its respective departments and Botswana diplomatic missions abroad embark on a strategic planning exercise to align individual performance objectives with departmental and ministerial strategic objectives. As one respondent in middle management noted "there is a deliberate process undertaken each year to align and cascade Ministry and department strategic objectives to individual performance objectives."

The respondents who stated that their individual performance objectives were misaligned with their respective departments and the Ministry's strategic objectives noted that Botswana diplomatic missions abroad developed their annual performance plans and strategic plans without making reference to departmental and ministerial strategic plans and annual performance plans. As one respondent in senior management noted, "As we speak [May 2013] we [Botswana diplomatic missions abroad] do not have the Ministry's annual performance plan and departmental annual performance plans." According to the researcher's personal observation, the Ministry's annual performance plan for 2013 to 2014 was sent to departments and Botswana diplomatic missions abroad on 18 July 2013. This was almost four months after the financial year has started. One respondent in junior management observed that "it is not always easy to cascade Ministry's strategic objectives to the operational level."

The Botswana public service uses national development plans and the national vision (Vision 2016) for strategic planning at the national level. National

development plans and Vision 2016 guide the development of strategic plans, annual performance plans, performance agreements, and performance and development plans. Question 4 asked respondents to state whether the strategic goals and objectives of the Ministry of Foreign Affairs and International Co-operation were aligned to the national development plan goals and objectives and Vision 2016.

All the 49 (100%) respondents indicated that the Ministry's strategic goals and objectives were linked to the national development plan goals and objectives and Vision 2016. The respondents justified this on the basis that the Ministry's strategic goals and objectives were derived from the national development plan and Vision 2016, which are used as master plans of national development in Botswana. The alignment of individual performance objectives with departmental and the Ministry's strategic objectives is easier said than done. As explained in Chapter Three (see *supra* 5.2.2.1), the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation encountered challenges in cascading strategic objectives and aligning individual objectives with departmental and ministerial objectives. The challenges that were encountered include poor or weak strategic planning; shortage of strategy skills; limited stakeholder participation in strategy formulation and execution; previous national development plans except the current tenth national development plan lacked clear performance indicators, targets and milestones for some government policies, programmes and projects; and government ministries and independent departments formulated strategic plans and annual performance plans without making reference to the national development plan.

To successfully implement the performance management system, institutional and individual objectives should have specific targets, milestones and outputs or outcomes against which performance will be assessed.

### **7.6.1.3 Performance measures**

The setting of measurable performance targets, outputs or outcomes and the identification of milestones assists employees to understand what they should be doing, how to do it and the performance results expected (Chartered Institute of Personnel and Development, 2009: online). Performance targets, milestones and outputs or outcomes provide a basis for an objective review (Kirkpatrick, 1986: 69). They also ensure that there are no surprises and confrontations during the performance review (Longenecker, 1989: 80; Sahl, 1990: 54). Question 3 asked respondents to indicate whether their individual performance objectives had quantified targets, milestones and outputs or outcomes.

36 (73.5%) of the respondents indicated that their individual performance objectives had quantified targets, milestones and outputs or outcomes, while 13 (26.5%) stated that their individual performance objectives lacked quantified targets but had milestones and outputs or outcomes. Although many respondents stated that their individual performance objectives had quantified targets, milestones and outputs or outcomes, the analyses in Sections 7.6.1.1 and 7.6.1.2 above showed that it is often difficult to develop appropriate performance measures for government ministries and independent departments, in particular ministries of foreign affairs.

As noted in Chapter Five (see *supra* 5.2.1), vision, mission and values are key components of the performance management system.

### **7.6.1.4 Vision, mission and value statements**

As explained in Chapter Five (see *supra* 5.2.1), vision, mission and value statements are a *sine qua non* for any effective institution because they *inter alia*

guide decision-making, resource allocation, innovation and performance improvement, strategic planning and management; serve as building blocks for strategic plans and annual performance plans; align efforts of every employee; and inspire employees and stakeholders. Niven (2003: 117) defined a vision as a desired future state of the institution. He defined a mission as the primary purpose of the institution, its *raison d'être* or justification for its existence (Niven, 2003: 102). Values are everlasting and inviolate principles that guide an institution (Niven, 2003: 111). Question 5 asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has vision, mission and value statements, strategic plans, annual performance plans, performance agreements, and performance and development plans.

All the 49 (100%) respondents agreed that the Ministry of Foreign Affairs and International Co-operation has vision, mission and value statements, strategic plans, annual performance plans, performance agreements, and performance and development plans. Question 5.1 required respondents who had answered that the Ministry has vision, mission and value statements to indicate whether these statements were simple, short, clear, inspiring, catchy and memorable or lengthy, uninteresting, and difficult to memorise. 38 (77.6%) respondents indicated that the vision, mission and value statements of the Ministry were simple, short, clear, inspiring, catchy and memorable, while 11 (22.4%) stated that the Ministry's vision, mission and value statements were lengthy, uninteresting, and difficult to memorise.

35 (100%) respondents serving at the Botswana diplomatic missions abroad indicated that their diplomatic missions had vision, mission and value statements, strategic plans, annual performance plans, performance agreements, and performance and development plans. Out of the 35 respondents who indicated that their diplomatic missions had vision, mission and value statements, 29



(82.9%) respondents stated that the vision, mission and value statements were simple, short, clear, inspiring, catchy and memorable. The remaining six (17.1%) indicated that their diplomatic missions' vision, mission and value statements were lengthy, uninteresting, and difficult to memorise.

The 14 (100%) respondents at the Ministry headquarters indicated that their work divisions, units and departments had no vision, mission and value statements, but have strategic plans, annual performance plans, performance agreements, and performance and development plans. A follow-up interview with the Ministry Performance Improvement Co-ordinator confirmed that the administrative offices, units, sections, divisions and departments of the Ministry have no vision, mission and value statements of their own. They use the Ministry's vision, mission and value statements. The Ministry's departments have strategic plans, annual performance plans, performance agreements, and performance and development plans (Personal interview, G. Engliten, 8 June 2013).

Document analyses of the Ministry's publications confirmed that the Ministry has vision, mission and value statements. The vision statement of the Ministry of Foreign Affairs and International Co-operation reads as follows: "To be a respected and influential player in world affairs" (Pitso, 2012: 2). The current vision statement is a marked improvement to the first generation one that was lengthy, uninteresting, and difficult to memorise. The first generation vision statement read as follows:

*We at the Ministry of Foreign Affairs and International Co-operation, are committed to playing a leading role, in co-operation with other stakeholders, in the promotion of Botswana's interests abroad, as well as contributing to causes of common good internationally. As a team we are*

*further committed to the highest standard of service delivery to the nation* (Maribe, 2007: 1).

The current mission statement of the Ministry reads thus:

*The Ministry of Foreign Affairs and International Co-operation exists to promote and manage foreign relations as well as advance Botswana's interest. The Ministry also provides protocol and consular services in accordance with international norms and practice. The Ministry is committed to providing professional, effective and efficient services to its clients and stakeholders* (Pitso, 2012: 2).

The present mission statement is more concise than the previous one:

*We, the Ministry of Foreign Affairs and International Co-operation, exist to develop and manage a conducive environment for Botswana to interact with the international community. Accordingly, we co-ordinate foreign relations issues, promote the interests of Botswana abroad, provide efficient consular and protocol services, while adhering to national principles and international norms. Our aim is to contribute to national development and to make Botswana an effective and respected player in international affairs, as well as providing a motivating environment for our employees* (Maribe, 2007: 1).

The values of the Ministry are integrity, discipline, professionalism, patriotism and *botho* (humane behaviour). Integrity: the Ministry of Foreign Affairs and International Co-operation undertakes to conduct its business in the most dignified and respectable manner. Discipline: the Ministry of Foreign Affairs and International Co-operation as a representative or emissary of all Botswana's

foreign relations and dealings with the outside world commits to be punctual, honour appointments, courteous, polite and prompt in the delivery of service. Professionalism: the Ministry of Foreign Affairs and International Co-operation undertakes to have respect for authority and the public, adhere to international norms and ethics, and to honour international obligations and commitments. Patriotism: the Ministry of Foreign Affairs and International Co-operation undertakes to uphold and defend national interests and to project Botswana in positive light. *Botho*: the Ministry of Foreign Affairs and International Co-operation pledges to be caring, courteous, receptive and responsive to the needs and expectations of its clients and stakeholders (Molale, 2007: 9 – 10; Goitsema, 2013: 4).

Institutions often fail to define and translate vision, mission, values and strategic plans into individual performance objectives and to develop appropriate performance measures and targets because of inadequate time (Bowman, 1999: 567; Bourne, Neely, Platts and Mills, 2002: 1296; Niven, 2003: 11; de Waal and Counet, 2009: 368). For this reason, question 9 asked respondents to indicate whether the time allocated for the development of strategic plans, annual performance plans, performance agreements, and performance and development plans was adequate. 35 (71.4%) of the respondents stated that the time allocated was adequate, while 14 (28.6%) respondents reported that the time allocated was inadequate. This was an unexpected study finding given the challenges that the Ministry encounters in formulating performance objectives and measures.

If time was adequate, the Ministry headquarters could be submitting the Ministry's annual performance plans to Botswana diplomatic missions abroad by 1<sup>st</sup> April of each year as per the performance management system and the financial cycles. However, as of May 2013 when data was gathered, Botswana

diplomatic missions abroad had not received copies of the Ministry's annual performance plan for 2013 - 2014. According to the researcher's personal observation, the Ministry's Performance Improvement Co-ordinator sent the Ministry's annual performance plan for 2013 – 2014 to departments and Botswana diplomatic missions abroad on 18 July 2013. This was after the first quarterly performance reviews for 2013-2014 had been conducted at the end of June 2013.

### **7.6.2 Dimension 2: Target group**

The research questions under the second dimension sought to find out the following: (1) who were the target group of the performance management system of the Ministry of Foreign Affairs and International Co-operation?; (2) whether the target group was consulted when the performance management system was implemented in the Ministry; (3) whether the target group was provided with written and oral briefings to guide the implementation of the performance management system; (4) whether the target group received performance management training; (5) rate the quality of the performance management training received by the target group; (6) whether the target group received retraining or refresher courses; (7) rate the performance management knowledge and skills of the target group; (8) identify the implementation approach that was used by the Ministry; (9) how the implementation of the performance management system was received by the target group; and lastly whether the target group perceived the performance management system as an empowering or burdensome management tool.

The performance management system is introduced in any institution to address the needs of a specific target group. Question 10 asked respondents to state the target group of the performance management system of the Ministry of Foreign

Affairs and International Co-operation. 43 (87.8%) respondents stated that the performance management system targeted all categories of staff in the Ministry, while six (12.2%) respondents indicated that the performance management system targeted professional and technical staff only.

Studies by the Institute of Development Management Consortium (2006: viii) and Mothusi (2008: 122) confirmed that the performance management system of the Botswana public service targets all categories of staff, that is, professional, technical, administrative (clerical) and support (operational). This study finding supports the observation by Armstrong and Baron (1998: 362) that new versions of the performance management system cover all categories of staff unlike the old versions that targeted only managers or professional and technical staff.

#### **7.6.2.1 Design and implementation of the performance management system**

To ensure acceptance and ownership of the performance management system by the target group, it is important that the target group should be involved in the design of the performance management system. Question 11 asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation involved the target group in the design of the performance management system. 34 (69.4%) respondents indicated that the target group was involved during the implementation phase, while nine (18.4%) respondents indicated that they do not know the answer, and six (12.2%) stated that the target group was not involved in the design phase.

The majority of the respondents who indicated that the target group was involved during the implementation phase stated that the Ministry held staff meetings, performance management workshops and seminars, retreats, strategy

development and review meetings to consult the target group. Some respondents indicated that working groups were established to develop performance objectives that were consolidated into ministerial objectives. One respondent in middle management noted that “the Ministry convened a retreat which was attended by all staff members to deliberate on the implementation of the performance management system in the Ministry.” This was also supported by another respondent in middle management who wrote that “all departments have Performance Improvement Co-ordinators who are expected to engage all staff members in their work divisions, units and departments in the performance management processes and take all their representations to the Ministerial Performance Improvement Committee.”

According to the Institute of Development Management Consortium (2006: 7), the performance management system of the Botswana public service was implemented in four phases: conceptualisation, design, installation and implementation. The conceptualisation and design phases entailed the design and development of performance management processes, systems, tools and institutional structures. The installation or roll-out phase involved the transfer of performance management skills to government ministries and independent departments. The implementation phase covered the actual execution of the performance management system: performance planning, management, monitoring and evaluation and rewarding performance.

#### **7.6.2.2 Performance management system briefings**

As indicated in Chapter Three (see *supra* 3.5.2.3), it is important that the institution should provide written and oral briefings on the performance management system for all its employees before implementing the programme. The briefings should *inter alia* explain the reasons why the institution is

implementing the performance management system; objectives and benefits of the performance management system; performance management methods and processes; the skills required to implement the programme and the contributions that individual employees have to make.

Question 12 asked respondents to indicate whether they were provided with any written documentation and oral briefings to guide the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. 41 (83.7%) respondents indicated that they were provided with written and oral briefings to guide the implementation, while eight (16.3%) respondents indicated that they were not provided with any written documentation and oral briefings.

Below are some of the documents that were listed by respondents who indicated that they were provided with written documentation to guide the implementation of the performance management system in the Ministry. A workbook detailing the process of strategy formulation; Ministry of Foreign Affairs and International Co-operation current and previous strategic plans; strategy map template; review matrix; Ministry of Foreign Affairs and International Co-operation annual performance plan; handouts on the performance management system and the balanced scorecard literature; handouts on the background of the performance management system and its aims and objectives; descriptions of vision, mission and value statements; annual state of the nation addresses by the President of Botswana; The Performance Management System Philosophy Document for the Botswana Public Service; Performance Agreement Guidelines for Permanent Secretaries and Deputy Permanent Secretaries; Performance Based Reward System Framework and Guidelines; Draft Rewards Menu and Administration Guidelines; Botswana Public Service Customer Service Standards Framework Document; Botswana Public Service Charter; 21 Point Agenda; Public Service

Act; tenth national development plan; Vision 2016 document; Economic Diversification Drive strategy; Botswana Excellence Strategy for Economic Diversification and Sustainable Growth, and Business and Economic Advisory Council action items. Armstrong and Baron (1998: 364) consider providing written documentation and oral briefings on the performance management system a good management practice.

### **7.6.2.3 Performance management training**

Employees should be trained to develop their performance management knowledge, skills and capabilities and to have an in-depth understanding of the performance management system philosophy and how the programme works. Performance management training is essential to ensure the successful implementation of the performance management system and to sustain the programme (Armstrong and Baron, 1998: 371). Question 13 asked respondents to state whether they had received performance management training in any of the following 12 areas: performance planning; goal or objective setting; performance measurement and reporting; preparing for performance appraisal interviews or reviews; conducting effective performance appraisal interviews; preparing performance agreements; preparing performance and development plans; supervisory and people management skills; communication and interpersonal skills; conflict resolution; mentoring, coaching, and counselling; and other forms of training.

According to Table 7.8 below, the majority of the respondents indicated that they received performance management training in the 12 areas. Over 50 per cent of the respondents indicated that they received performance management training in nine out of the 12 areas. The nine areas that received scores above 50 per cent were the following: (1) preparing performance agreements (81.8%); (2)



performance measurement and reporting (77.6%); (3) goal or objective setting (71.4%); (4) preparing performance and development plans (71.1%); (5) performance planning (61.2%); (6) conducting effective performance appraisal interviews (57.1%); (7) mentoring, coaching and counselling (54.3%); (8) preparing for performance appraisal interviews (53.1%); and (9) supervisory and people management skills (51.4%). The following three areas received scores below 50 per cent: (1) conflict resolution (40.8%); (2) communication and interpersonal skills (30.6%); and other forms of training (6.1%).

The other forms of training that respondents indicated that they attended include executive leadership; change management; strategic management; business process re-engineering; strategic planning; innovation in strategy execution; senior management programme in leadership and governance; project management; conflict resolution and labour relations; and systems thinking.

Document analyses of the Ministry of Foreign Affairs and International Co-operation records confirmed that staff members were provided with performance management training. In 2007, the Ministry in conjunction with the Co-ordinator of the Public Service Reforms Unit and the Permanent Secretary to the President organised one-week workshops to cascade the ninth national development plan and the strategy of the Ministry of Foreign Affairs and International Co-operation to the Ministry headquarters and Botswana diplomatic missions abroad.

To save costs, two workshops were organised. One workshop was held in Gaborone, Botswana for the staff at the Ministry headquarters and Botswana diplomatic missions based in Africa. The other workshop was held in October 2007 in Washington, DC, United States of America for Botswana diplomatic missions based in Asia and the Pacific, and Europe and the Americas (Molale, 2007: 4).

**Table 7.8 Number of respondents who received performance management training**

<b>PERFORMANCE MANAGEMENT TRAINING AREA</b>	<b>NUMBER AND PERCENTAGE OF RESPONDENTS TRAINED</b>	<b>NUMBER AND PERCENTAGE OF RESPONDENTS NOT TRAINED</b>
Preparing performance agreements	9 (81.8%)	2 (18.2%)
Performance measurement and reporting	38 (77.6%)	11 (22.4%)
Goal or objective setting	35 (71.4%)	14 (28.6%)
Preparing performance and development plans	27(71.1%)	11 (28.9%)
Performance planning	30 (61.2%)	19 (38.8%)
Conducting effective performance appraisal interviews	20 (57.1%)	15 (42.9%)
Mentoring, coaching and counselling	19 (54.3%)	16 (45.7%)
Preparing for performance appraisal interviews	26 (53.1%)	23 (46.9%)
Supervisory and people management skills	18 (51.4%)	17 (48.6%)
Conflict resolution	20 (40.8%)	29 (59.2%)
Communication and interpersonal skills	15 (30.6%)	34 (69.4%)
Other forms of training	3 (6.1%)	

A similar workshop was held in Pretoria, South Africa from 21 to 26 November 2009 to cascade the implementation of the tenth national development plan to

Botswana diplomatic missions based in Africa. The workshops covered the following topics: building the case for change; background to Botswana public service reforms; Ministry of Foreign Affairs and International Co-operation paradigm shift, values, and the performance based reward system; performance management terminology and core concepts; balanced scorecard methodology fundamentals; strategy mapping; measures that drive performance; initiatives that drive action; aligning the Ministry strategy to the national development plan goals and objectives; working within the national development plan strategic framework; working within the Ministry strategic framework; cascading objectives and measures; strategy reviews and reporting; development of performance agreements and performance and development plans; mock performance reviews; mock reporting preparation; and mock reporting session (Molale, 2007: 4).

Document analyses further revealed that the Ministry of Foreign Affairs and International Co-operation organised a strategy meeting from 21 to 25 June 2010 in Gaborone, Botswana to train Departmental Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators.<sup>25</sup> Departmental Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators were trained in the following areas: strategy development, management and implementation; alignment of Mission strategic plans and Ministry strategy; development of performance agreements, and performance and development plans; business process re-engineering; cascading

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<sup>25</sup> Departmental Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators co-ordinate and spearhead the implementation of the performance management system in their departments and Botswana diplomatic missions abroad, respectively. They serve as strategy drivers and managers within their departments and Botswana diplomatic missions abroad. The Ministry Performance Improvement Co-ordinator provides the necessary backstopping support to the Departmental Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators (Institute of Development Management Consortium, 2006: ix; 90; Marobela, 2008: 430).

of Botswana public service standards; and creating awareness of the Public Service Act (Act number 30 of 2008).

#### **7.6.2.4 Quality of performance management training**

Question 14 asked respondents to rate the quality of training they received in the various areas of performance management. 28 (57.1%) respondents rated the training they received as relevant, practical and specific to the Ministry's context, while 21 (42.9%) of the respondents rated the training as irrelevant. However, the majority of the respondents stated that performance management training was often accorded insufficient time in performance management workshops and seminars, and strategy planning and review meetings which are mostly held for two to five days.

The literature review showed that the performance management training in the Botswana public service was more focused on senior management and less focused on middle management and junior management. This was so because the implementation of the performance management system in the Botswana public service was leadership-driven (Institute of Development Management Consortium, 2006: xi; Mothusi, 2008: 115). In cases where middle management and junior management was trained, the training was often rushed and time allocated inadequate (Institute of Development Management Consortium, 2006: 10; Mothusi, 2008: 130). Consequently, most middle managers in the Botswana public service lacked the requisite skills to effectively manage staff performance and to conduct effective performance reviews. Most middle managers lacked training and skills in performance planning; managing performance; reviewing performance; rewarding performance; coaching; counselling; providing feedback; motivating and mentoring staff (Nyamunga, 2006: 12 - 13).

Furthermore, the performance management training tended to emphasise form over substance and process over content. The focus was more on completing forms and following the “template” (one-size-fits-all approach) regardless of the unique circumstances of government ministries and independent departments. Consequently, most of the performance management training focused on form-filling and processes rather than individual and institutional transformation (Institute of Development Management Consortium, 2006: 10). According to Katz and Manzione (2007: 15), institutions prefer to use standardised or uniform forms and templates because they allow easier and quicker decision making by reducing the time required to set objectives, approve plans, and conduct reviews, and allow greater data comparability and performance comparisons.

Document analyses of the Ministry’s records showed that senior foreign affairs officers were often hard-pressed to find time to mentor, coach and counsel junior staff and to explain the nuances and intricacies of diplomacy. To acquire knowledge and experience, most junior officers often rely on reading files and a few on the experience and wisdom of their patient senior officers (Dogra, 2009: 18). According to Hendricks (2006: 14), coaching and mentoring are not widely used by managers to improve employee performance because they are labour-intensive and time-consuming. Moreover, supervision of staff is often neglected because considerable time is spent on daily organisational paperwork and routine (Bowman, 1999: 567; Bourne, Neely, Platts and Mills, 2002: 1296; Palmer, 2008: 32; de Waal and Counet, 2009: 368).

This study also found that the quality of performance management training was poor because the Ministry of Foreign Affairs and International Co-operation rarely provided retraining or refresher courses. 36 (73.5%) of the respondents indicated that they were not provided with refresher courses, while 13 (26.5%) respondents agreed that they received refresher courses. Refresher courses are

important because they refresh and reinforce the training previously provided on the performance management system (Armstrong and Baron, 1998: 372). Without refresher courses, what was previously learned would be forgotten and this may slacken and regress the implementation of the performance management system (Allan, 2014: online).

According to the findings of the Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs of 1994 (page 31 - 32), the Ministry of Foreign Affairs and International Co-operation rarely invests in staff training and development because of the following four reasons. First, due to the critical shortage of staff, the Ministry cannot release the few available staff for professional training and development. Second, there is inadequate appreciation of the importance of investing in professional training and development. Third, exigencies of service often compel the Ministry to accept low performance by foreign service personnel.

Finally, inadequate leadership and general lack of awareness and understanding of the purpose, functions and role of the Ministry at the national level deprives the Ministry of the essentially required human and financial resources. Consequently, the Ministry relies heavily on on-the-job-training. Due to lack of professional training and development, there is often inadequate understanding of the professional and administrative theories and practices of international relations and diplomacy by staff members.

#### **7.6.2.5 Performance management knowledge and skills**

To successfully implement and manage the performance management system, employees should have performance management knowledge and skills. Question 16 asked respondents to rate their knowledge and skills to implement

and manage the performance management system. 33 (67.3%) of the respondents rated their performance management knowledge and skills as good or satisfactory, while 11 (22.4%) respondents rated their performance management knowledge and skills as poor or unsatisfactory, and five (10.2%) respondents rated their performance management knowledge and skills as excellent or outstanding.

This study finding should be treated with caution because most people often overrate their abilities. For example, even respondents who indicated that they received inadequate training in performance management and no refresher courses rated their performance management knowledge and skills as good. Some respondents may have felt uncomfortable (psychologically) to divulge to an insider-researcher that their performance management knowledge and skills were poor.

#### **7.6.2.6 Implementation approach**

As explained in Chapter Three (see *supra* 3.5.2.2), there are two main approaches used to implement the performance management system, namely cascading or top-down approach and participatory or bottom-up approach. Question 17 asked respondents to state which approach was used to implement the performance management system in the Ministry of Foreign Affairs and International Co-operation. 36 (73.5%) of the respondents indicated that the Ministry implemented the performance management system using cascading or top-down approach, while 13 (26.5%) respondents stated that the Ministry used a mixed approach (a combination of top-down and bottom-up approaches). It was established through document analysis and the literature review that the performance management system of the Botswana public service was implemented using a top-down approach because it was modelled on the New

Zealand New Public Management model, which is a top-down, systematic, holistic and integrated approach (Academy for Educational Development, 1996: 1; Henderson and Hacker, 2002: 1; Kiragu and Mutahaba, 2006: 7; Commonwealth Association for Public Administration and Management, 2008: 34; Mothusi, 2008: vii; Washington and Hacker, 2009: 1).

As already noted in Chapter Three (see *supra* 3.5.2.2), the top-down approach is widely used to implement the performance management system because it is convenient and in accordance with technocratic decision making approaches which value the opinions of experts (technocrats) rather than ordinary people who lack technical or expert knowledge; it is quicker because the design of the performance management system is entrusted to senior management, which later rolls the programme to lower levels of staff; and cascading makes the formulation and consolidation of different strategies of departments into one overall institutional strategy easy. However, the top-down approach has inherent weaknesses of excluding middle and junior management from the design of the performance management system, which create problems of lack of buy-in, ownership and acceptance from lower levels staff and rejection of performance objectives formulated upwards and later transposed downwards.

#### **7.6.2.7 Reception by the target group**

For any institution to successfully implement the performance management system, the target group should embrace the programme. Question 18 asked respondents to state how the implementation of the performance management system was received by the target group in the Ministry of Foreign Affairs and International Co-operation. 38 (77.6%) of the respondents indicated that the implementation was unenthusiastically embraced, while 11 (22.4%) respondents stated that the implementation was enthusiastically embraced.



Below are some of the reasons identified by respondents why there was reluctance to implement the performance management system in the Ministry of Foreign Affairs and International Co-operation. One respondent in senior management noted that "some officers felt there was no benefit from implementing the programme. It was not clear how the programme was an improvement to business as usual." Similarly, one respondent in junior management stated that "there was a feeling that the programme would not work for the Ministry of Foreign Affairs and International Co-operation." One respondent in junior management observed that the implementation of the performance management system was unenthusiastically embraced because "low ranking officers take cue from their seniors who are mostly resistant to new performance improvement systems. The resistance is also due to constant change in the performance management systems before workers master the previous one." One respondent in middle management noted that "change makes people uncomfortable especially when sanctions are involved." Another added that "change is good but not easily embraced and when something is new, until people start to understand, appreciate and value it, it will be unenthusiastically accepted."

One respondent in junior management stated that the implementation of the performance management system was unenthusiastically embraced because its "implementation came after a series of failed performance initiatives and as a result the target group had lower confidence in its success." One respondent in middle management stated that "there was no sense of ownership due to the use of top-down approach." One respondent in middle management noted that:

*Officers in leadership and management positions appeared to have understood and appreciated reasons behind the introduction of the performance management system. However, most officers below*

*management level were not taken on board when the performance management system was introduced, hence some of them do not understand its benefits.*

Other reasons that were identified by respondents included fear for change and loss of jobs, negative attitudes towards the programme, old habits, desire to maintain the status quo, inadequate understanding and knowledge of the programme and its benefits, and widespread feeling that the programme was imposed and ill-suited to the Ministry of Foreign Affairs and International Co-operation.

The literature review indicated that the implementation of the performance management system in the Botswana public service was a challenge due to entrenched paradigms, mindset and work ethics (Bakwena, 2003: 5; Nyamunga, 2006: 19; Laking and Norman, 2007: 522; Skelemani, 2007: 16; Lekorwe and Mothusi, 2011: 80). The work behaviour, values and attitudes of Botswana public servants were unfavourable to the effective implementation of the performance management system. A performance-oriented culture, customer service ethos, and a hard work ethic were lacking in the Botswana public service (Republic of Botswana, Vision 2016 – Long Term Vision for Botswana: Towards Prosperity for All, 1997a: 27-34; Republic of Botswana, National Development Plan 8, 1997b: 437; Ayeni, 2001: 11-12; Henderson and Hacker, 2002: 1; Institute of Development Management Consortium, 2006: xi; Skelemani, 2007: 8).

Its implementation created anxiety and resistance to change as it unsettled the political leadership, chief executive officers, consultants and the change agents alike (Bashe and Jongman, 2006: 32; Institute of Development Management Consortium, 2006: 67; Dzimbiri, 2008: 53). It created anxiety in the Botswana public service because it entailed changes in work methods, processes,

structures, systems, practices, behaviours, values, habits and orientations (Etzioni, 1989: 557; Mothusi, 2008: 87; Pollitt, 2008: 16). To demonstrate that there was no enthusiasm to implement the performance management system in the Ministry; Rana (2011: 350) concluded that the ministries of foreign affairs of Botswana, India, and Kenya were pushed into implementing the performance management system.

This study finding confirms findings by other researchers such as Polidano (2001: 346); Laking and Norman (2007: 522); and de Waal and Counet (2009: 367) that generally there is reluctance to implement the performance management system. This also confirms the findings by Bashe and Jongman (2006: 29); Institute of Development Management Consortium (2006: 42); Nyamunga (2006: 18); and Dzimbiri (2008: 53) that not all heads of government ministries and independent departments and rank and file employees were enthusiastic about the implementation of the performance management system in the Botswana public service.

#### **7.6.2.8 Empowering or burdensome management tool**

The implementation of the performance management system is generally viewed negatively by both managers and supervisees as an external accountability mechanism that is imposed upon them without any institutional added-value (Massey, 1999: 2; Cederblom and Pernerl, 2002: 131; Clark and Swain, 2005: 456). Question 20 asked respondents to state whether they viewed the performance management system as an empowering management tool that improves individual and institutional performance or as an extra burden management chore that increases paperwork, form-filling and reporting requirements. 37 (75.5%) of the respondents stated that they viewed the performance management system as an empowering management tool, while

eight (16.3%) respondents indicated that they viewed the performance management system in a neutral way and four (8.2%) respondents indicated that they viewed the performance management system as an extra burden management chore.

This was an unexpected study finding and the researcher suspects that it is liable to social desirability bias. According to Babbie and Mouton (2001: 349), social desirability bias occurs when respondents provide “the interviewer [researcher] with responses that they believe are desirable or expected by the interviewer.” It also occurs when respondents avoid providing answers that are negative or embarrassing to themselves, their institution, family, or friends (Bhattacharjee, 2012: 82). There is a high probability that some respondents may have felt psychologically unsafe to divulge to an inside-researcher that they view the performance management system as an extra burden management chore.

According to Rana (2011: 350), the declared support for the performance management system in the ministries of foreign affairs is often mere rhetoric or words without action (deeds or practice). As one respondent in junior management stated, “the Ministry and its officers at Missions are always busy with other activities and view meetings for the performance management system as a waste of time.” The literature review showed that Botswana public servants perceived the performance management system as a bureaucratic burden because of many performance management meetings and workshops and too much documentation (Mothusi, 2008: 129). Consequently, the performance management system was viewed in some quarters as denoting “workshops and free lunch” and the attendant “workshop fatigue” (Institute of Development Management Consortium, 2006: 9).

Generally, management scholars and practitioners in international relations (diplomacy) view the performance management system as inapplicable to ministries of foreign affairs. They view it negatively as “producing paper plans, empty of content,” “misdirecting attention to paper compliance” and losing “focus on intangible diplomatic activities that are sometimes even more vital than those listed” (Rana, 2011: 184 – 85). Sir Ivor Roberts, the editor of the classic “Satow’s Diplomatic Practice,” which served as a bible for practitioners and scholars of diplomacy for close to a century wrote the following about performance management in ministries of foreign affairs:

*Can it be that in wading through the plethora of business plans, capability reviews, skills audits, zero-based reviews and other excrescences of the management age, we have indeed forgotten what diplomacy is all about? ...Well conducted diplomacy cannot be properly measured because diplomatic successes are more often than not elusive or ephemeral. The diplomat is condemned to a Sisyphean task in which as he attempts to grapple with one conflict, another one breaks out* (cited in Rana, 2011: 183; Leon, 2013: 34).

Similarly, Leon (2013: 33) had this to say about the performance management system: “The ‘Culture of Performance,’ with its endless demand for forms, weights and measures, was to be a constant and irritating companion throughout my ambassadorship.”

### **7.6.3 Dimension 3: Outcome measures**

The research questions under this dimension sought to establish the following:  
(1) Which performance measurement system was used by the Ministry of Foreign

Affairs and International Co-operation?; and (2) How user-friendly was the performance measurement system used by the Ministry?

#### **7.6.3.1 Performance measurement system**

As already mentioned in Chapter Three (see *supra* 3.5.3.2), there are four categories of performance measurement systems that are used to measure institutional performance. These are (1) sophisticated financial models such as economic value added, and shareholder value; (2) comparative and benchmarking models such as the European Foundation for Quality Management Excellence Model; (3) quality models such as total quality management; and (4) holistic models such as the balanced scorecard and the public service excellence model. Question 21 asked respondents to indicate the performance measurement system used by the Ministry of Foreign Affairs and International Co-operation. 38 (77.6%) respondents indicated that the Ministry used the balanced scorecard as a performance measurement system, while 11 (22.4%) respondents cited other performance measurement systems such as the public service excellence model, economic value added, shareholder value and total quality management.

As already stated in Chapter Five (see *supra* 5.2.2), the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation uses the balanced scorecard as a performance measurement system. As explained in Chapter Three (see *supra* 3.5.3.2), the balanced scorecard is widely used by public services in Commonwealth Africa. Question 22 asked respondents to indicate whether the performance measurement system used by the Ministry of Foreign Affairs and International Co-operation was simple and easy to use or complex and technical to use. 26 (53.1%) respondents indicated that the

performance measurement system used by the Ministry was complex and technical to use, while 23 (46.9%) stated that it was simple and easy to use.

The majority of the respondents stated that the balanced scorecard was complex and technical to use because it was cascaded by novices. As one respondent in junior management noted, "a new performance measurement system such as the balanced scorecard required a qualified expert in the field to cascade it to the rest of the Ministry staff. The Ministry should have at least nominated one person from each department to go for extensive training on the system." Furthermore, it was complex and technical to use because of inadequate training in performance measurement. As one respondent in middle management observed, "actually in all the seminars, performance measurements are given minimal attention. I have personally raised this issue with the Ministry Performance Improvement Co-ordinator." The respondents also indicated that the balanced scorecard was complex and technical to use because it was not customised or adapted to suit the Ministry of Foreign Affairs and International Co-operation's specific context.

The general problems encountered by the public service when implementing the balanced scorecard were discussed in Chapter Three (see *supra* a). The thrust of this discussion was that the balanced scorecard is not easily transferable to the public service as it was originally designed for private sector institutions. The literature review revealed that it has been a challenge for the ministries of foreign affairs to develop performance measurement systems that are suitable to their specific contexts (Rana, 2011: 172). Unlike other government ministries and independent departments, the Ministry of Foreign Affairs and International Co-operation has encountered difficulties in developing appropriate performance measures because it does not have direct responsibility for implementation of

development projects and programmes, but has cross-sectoral facilitative, co-ordinative, and representational responsibilities (Maribe, 2007: 11).

#### **7.6.4 Dimension 4: Programme components**

The research questions asked under this dimension sought to find out whether adequate time, efforts, human and financial resources were allocated for the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. The research questions also sought to establish whether the Ministry had effective leadership to implement the performance management system.

##### **7.6.4.1 Time**

Question 26A asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation had adequate time to design, install and institutionalise the performance management system. 25 (51%) of the respondents indicated that the time allocated for the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation was inadequate, while 24 (49%) said the time was adequate. One respondent in senior management noted that the time allocated for the implementation of the performance management system was inadequate because “there is never adequate time to devote to performance management due to urgent demands or workload.” Another respondent in middle management added that:

*Owing to the fact that the Ministry's offices and Missions are scattered or spread around the world, it was logistically difficult for the leadership to make adequate time to cover all within a short period. Human resources*



*were initially a challenge in that one Performance Improvement Co-ordinator could not sufficiently cover all Missions, more especially with all the travelling involved; workshops on the programme in all parts of the world; time difference. Unlike other government ministries, excursions or seminars proved more expensive since they involved continental or inter-continental travel; accommodation and subsistence expenses as well.*

The literature review revealed that the performance management system of the Botswana public service had a five-year implementation plan. The roll-out of the performance management system in the Botswana public service began in July 1999 and was completed on 31 March 2004 (Republic of Botswana, National Development Plan 9, 2003a: 366; Botswana National Productivity Centre, 2005: 5; Institute of Development Management Consortium, 2006: vi). A five-year implementation plan is considered adequate compared to the usually three-year plan (Dussauge Laguna, 2011: 60).

However, due to the slow pace of implementation of the performance management system by government ministries and independent departments, a presidential directive deadline of 31 March 2004 was set for the Botswana public service. As a result, the implementation was rushed during the 2003/2004 financial year to meet the presidential directive deadline (Republic of Botswana, Budget Speech, 2004a: 17). Consequently, government ministries and independent departments had insufficient time to teach, assimilate and internalise the performance management system concepts (Institute of Development Management Consortium, 2006: 10).

#### **7.6.4.2 Efforts (commitment or determination)**

Question 26B asked respondents to indicate if the Ministry of Foreign Affairs and International Co-operation devoted adequate efforts to implementing the performance management system. 29 (59.2%) of the respondents indicated that the efforts devoted to the implementation of the performance management system were inadequate, while 20 (40.8%) of the respondents said the efforts were adequate. Based on the finding by Rana (2011:350) that the ministries of foreign affairs of Botswana, India, and Kenya were pushed into implementing the performance management system, one would conclude that the efforts were inadequate.

It is also worth noting that management time, effort and attention were distracted by the computerisation of the Ministry's headquarters and the implementation of the Computerised Missions Accounting System during the period of 1997 to 2000/2001, and by organisational reviews and restructuring of the Ministry in 1998/99, 2007 and 2009 (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 131; Dogra, 2009: 2). Organisational reviews and restructuring often distract and create career anxiety among public service managers and staff members and thereby affecting work performance and commitment (Dowling, Welch and Schuler, 1999: 208). Restructuring often renders some of the staff members' functional skills and knowledge redundant (Dowling, Welch and Schuler, 1999: 215).

Following restructuring, it frequently takes many years to put new procedures and structures in place and to appoint new staff. It also takes more time for public service managers and staff members to learn their new roles, and to familiarise themselves with new procedures and structures (Pollitt, 2008: 3, 17). The high failure rate (70%) of the implementation of change programmes,

including the performance management system is attributed to ineffective leadership, lack of commitment, and poor implementation (Hope and Player, 2012: 1).

#### **7.6.4.3 Human resources**

Question 26C asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation had adequate human resources to implement the performance management system. 32 (65.3%) of the respondents stated that the human resources allocated for the implementation of the performance management system in the Ministry were inadequate, while 17 (34.7%) respondents indicated that the human resources allocated were adequate. The literature review showed that the Botswana public service lacked human resources with the requisite skills, experience and expertise to embark on a major reform such as the performance management system (Bashe and Jongman, 2006: 29; Laking and Norman, 2007: 527; Dzimbiri, 2008: 53).

According to Bashe and Jongman (2006: 30) and Washington and Hacker (2009: 6), the Botswana public service did not have the requisite numbers and calibre of chief executive officers to effectively implement the performance management system. Due to the shortage of human resources with the requisite skills, experience and expertise to implement the performance management system, a gradual approach was adopted by the Botswana public service. At the initial stages of implementation, government ministries and independent departments were allowed to appoint one Performance Improvement Co-ordinator. Currently, the Office of Ministry Performance Improvement Co-ordinator of the Ministry of Foreign Affairs and International Co-operation has three officers.

The Public Service Reforms Unit which was established in June 1998 as a new division within the Directorate of Public Service Management to integrate, co-ordinate and spearhead the implementation of the public service reforms, including the performance management system was inexperienced, understaffed and lacked high-level technical and professional expertise to provide the necessary backstopping support to government ministries and independent departments (Institute of Development Management Consortium, 2006: 42, 90; Marobela, 2008: 430). As of March 2006, the Public Service Reforms Unit had only six staff members to service the whole Botswana public service (Institute of Development Management Consortium, 2006: 72 - 73).

Furthermore, the lead consultants from the Botswana National Productivity Centre, which was awarded a five-year contract to roll-out the performance management system in the Botswana public service had little or no practical experience of implementing a reform of this magnitude (Institute of Development Management Consortium, 2006: 72-73; Dzimbiri, 2008: 53). As explained by Bashe and Jongman (2006: 31), Botswana National Productivity Centre consultants and other local consultants were deliberately used even though inexperienced in order to build consultancy capacity and retain consulting skills and knowledge within the country.

The Singaporean Productivity Standards Boards (now known as Spring Singapore) provided technical assistance to the Botswana National Productivity Centre through the Botswana/Singapore bilateral agreement on technical co-operation, which was implemented in 1994. The first training of Botswana National Productivity Centre consultants was undertaken in Singapore (Botswana National Productivity Centre, 2005: 4). The Botswana National Productivity Centre also established strategic partnerships with the Productivity Centre of Kenya; National Productivity and Competitiveness Council of Mauritius; and the

National Productivity Institute of South Africa to assist the institution to build capacity and capability. Moreover, the Botswana National Productivity Centre built networks and joined organisations that deal with productivity issues such as the Pan African Productivity Association, and the World Confederation of Productivity Science to strengthen its institutional capacity and capability (Botswana National Productivity Centre, 2005: 6).

More specifically, the Ministry of Foreign Affairs and International Co-operation lacked staff with skills and knowledge to execute its mandate in critical fields such as diplomacy; information technology; international trade, investment and tourism; negotiations; and conflict prevention, management and resolution. As a result of shortage of staff with proficiency in foreign languages, the Ministry relied on foreign language consultants to produce promotional material on trade, investment and tourism (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 132). Leon (2013: 36) observed that diplomatic missions' budgets for language training were generally modest. Promotional activities that are undertaken to market Botswana as an investment and tourism destination are constrained by limited human, financial and material resources<sup>26</sup>. The main constraints faced by the Ministry of Foreign Affairs and International Co-operation were well captured on the sectoral chapter on the Ministry:

*The major constraints are with respect to human and financial resources. On average each [diplomatic] mission has a diplomatic staff complement of five, but covers an average of four countries with some [diplomatic] missions also covering several international organisations, compelling the [diplomatic] Missions to spread their limited resources thinly. Furthermore, every [diplomatic] mission's coverage includes countries whose languages*

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<sup>26</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2009/2010 on 3<sup>rd</sup> March 2009c: 2.

*are unknown to mission officers. Unfortunately, this severely limits officers' ability to promote Botswana's interests effectively* (Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 145).

#### **7.6.4.4 Financial resources**

Question 26D asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation had adequate financial resources to implement the performance management system. 43 (87.8%) of the respondents indicated that the financial resources allocated for the implementation of the performance management system in the Ministry were inadequate, while six (12.2%) of the respondents stated that the financial resources were adequate. The literature review revealed that the approved performance management system budget for the Botswana public service which amounted to 27 million pula, an equivalent to 5.5 million United States of America dollars, was inadequate to complete the design of the performance management system and to provide implementation support (Bashe and Jongman, 2006: 24; Dzimbiri, 2008:54).

As of April 1999, 30 million pula, an equivalent of 5 million United States of America dollars, was spent on performance management system training for the Botswana public service (Mothusi, 2008: 50). Like other African public services, the Botswana public service lacked adequate human, financial and material resources to implement the performance management system (Economic Commission for Africa, 2004: 51; Lekorwe and Mothusi, 2011: 81).

The implementation of the performance management system in the Botswana public service coincided with the after-effects of the Asian economic and financial

crises of 1998, the *El Nino* weather phenomenon, the year 2000 computer problem or millennium bug, and national development challenges of unemployment, poverty, and HIV/AIDS pandemic<sup>27</sup> (Republic of Botswana, Budget Speech, 1999: 1 -2; Harvey, 2000: 4; Gbadamosi, 2005: 1142; Lekorwe and Mothusi, 2011: 81). During the effective year of the implementation of the performance management (1998/1999), the Botswana government had a budget deficit of 1, 278 million pula for the first time in sixteen years (Harvey, 2000: 2).

Consequently, funding allocated to the implementation of the performance management system was inadequate due to competing national priorities. Mwagiru (2006: 195) observed that because ministries of foreign affairs deliver intangible benefits for countries, some policy makers wrongly believe that ministries of foreign affairs do not need large budgets to function. Additionally, ministries of foreign affairs are generally viewed negatively as consumer rather production ministries (Mapetla, 2012: 3). Inadequate budgets often constrain the effective implementation of strategic plans of ministries of foreign affairs.

#### **7.6.4.5 Effective leadership**

Question 26E asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation had effective leadership to implement the performance management system. 27 (55.1%) of the respondents indicated that the Ministry lacked effective leadership to implement the performance management system, while 22 (44.9%) respondents stated that there was effective leadership. The majority of the respondents who reported that there

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<sup>27</sup> Considerable national resources are channelled to the HIV/AIDS epidemic. As of 2013, the national HIV/AIDS budget was estimated to be 1.1 billion pula (Republic of Botswana, Opening Remarks by His Honour the Vice President Dr. Ponatshego H.K. Kedikilwe at the National AIDS Council Meeting held in Gaborone, Botswana on 25 April 2013c).

was ineffective leadership cited frequent change of leadership as the debilitating factor. As one respondent in middle management noted:

*The leadership was ineffective in that they also were learning with us at the same time. They probably resisted it just like ordinary officers. The Ministry of Foreign Affairs and International Co-operation has experienced frequent changes in leadership in the past 6 or so years therefore disrupting leadership. The experts who were involved mostly did not understand the role of the Ministry of Foreign Affairs and International Co-operation thereby confusing implementation of the performance management system. You cannot review the Ministry of Foreign Affairs the same way as the Ministry of Agriculture or Transport.*

Similarly, one respondent in senior management observed that:

*I believe we [Ministry of Foreign Affairs and International Co-operation] needed someone who was very familiar with the mandate of the Ministry in the human resources position. Our leadership changed a lot from the time the performance management system was introduced. And the different leadership had their own different views on the targets and sometimes the milestones.*

The net effect of this, according to one respondent in middle management, was that “instead of moving forward the Ministry was always moving backwards since the different leadership had different views on the implementation of the performance management system.” Another respondent in senior management pointed out that “frequent change of leadership does not augur well for the Ministry of Foreign Affairs and International Co-operation.” Document analysis revealed that indeed the Ministry experienced high staff turnover, especially for



the position of Permanent Secretary. Since 1999, the Ministry has been led by five Permanent Secretaries. In the last five years, the position of Permanent Secretary was held by four different officials. This figure is very high when compared to the South African public service in which an average government department has about four directors-general<sup>28</sup> in ten years (Gernetzky, 2013: 1).

High staff turnover of chief executive officers often slacken the pace of implementation of the performance management system, and creates problems of inconsistency, discontinuity and loss of institutional memory (Kaplan, 2001: 368; Bourne, Neely, Platts and Mills, 2002: 1303; de Waal and Counet, 2009: 372). Furthermore, it contributes to the weak implementation of government policies and plans (Republic of South Africa, Midterm Review of the Priorities of Government, 2012: 43). Due to high staff turnover, Permanent Secretaries of the Ministry of Foreign Affairs and International Co-operation often have limited time to adjust, effect changes and address strategic and operational issues such as staffing requirements and development or revision of plans, policies and operational guidelines (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 26 - 27).

#### **7.6.5 Dimension 5: Programme infrastructure**

The research questions under the fifth dimension sought to find out whether the Ministry of Foreign Affairs and International Co-operation had the following systems to support the effective implementation of the performance management system: appointment and promotion system; induction or orientation of new officers; job descriptions; performance based budgeting system; handing over notes; performance appraisal or evaluation systems;

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<sup>28</sup> The position of Permanent Secretary in the Botswana public service is an equivalent of the position of Director-General in the South African public service.

performance reporting systems; monitoring and evaluation systems; recognition and reward systems; communication/information system; equity and grievance redress systems; foreign policy document; and well crafted government policies, programmes and strategies on trade and investment, and tourism.

#### **7.6.5.1 Appointment and promotion system**

Rigorous appointment and promotion systems are used for career planning to identify high-fliers (best talent) and rid non-performers in ministries of foreign affairs of Australia, Mexico, Singapore, United Kingdom, and the United States of America. Applicants seeking appointments and promotions have to pass written examinations, interviews, and assessments by special boards (Rana, 2011: 179). Question 27A requested respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has appointment and promotion system. 30 (61.2%) of the respondents agreed that the Ministry has an appointment and promotion system, while 19 (38.8%) of the respondents disagreed. Document analyses of the Ministry records revealed that the appointment and promotion system exists. The Ministry has an Appointment and Promotion Board.

The literature review showed that the appointment and promotion system was inadequate in the following aspects. The recruitment system lacks a rigorous and competitive selection process. Although the Ministry requires a multi-skilled workforce, the recruitment is skewed towards traditional fields of diplomacy such as public administration and political science (Dogra, 2009: 2). Out of the 49 respondents who participated in this study, 22 (44.9%) majored in political science and public administration, six (12.2%) in international relations, two (4.1%) in political science and economics, two (4.1%) in public administration and accounting, one (2%) in political science and environmental science. Consequently, there is shortage of staff with expertise in business administration,

communications, finance, investment, travel, and tourism. Out of the 49 respondents, only four (8.2%) had qualifications in business administration.

The promotion system lacks competition, transparency, a laid down promotion criteria and a prescribed time-scale for eligibility to promotion to the next higher level. The Ministry lacks a defined competency based career path and this results in officers progressing to higher positions without requisite skills, experience and competencies. The Ministry also lacks a fair and transparent policy for postings and transfers. Consequently, foreign affairs officers complain of demoralising transfers (postings) and promotions (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 27; Republic of Botswana, Draft Report on the Organisational Restructuring of the Ministry of Foreign Affairs and International Co-operation, 2009d: 25; Dogra, 2009: 3, 7, 34).

The staffing structure of the Ministry of Foreign Affairs and International Co-operation is not ideal. It resembles a pagoda in shape instead of a pyramid because of a bloated middle management staff, less senior management staff and less junior staff (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 28 – 30; Dogra, 2009: 24 – 25). As a result, foreign affairs officers complain of inadequate promotion avenues. For example, there are very limited avenues of promotion beyond E-1 level (Directors, Ambassadors and High Commissioners level). There are only two sanctioned posts at the F-2 level<sup>29</sup> (Deputy Permanent Secretary level) and only one post at the F-1 level (Permanent Secretary level). Consequently, public service managers at the Directors, Ambassadors and High Commissioners level block the promotion prospects of junior officers for an

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<sup>29</sup> In 2004, the Ministry of Foreign Affairs of Namibia had four officials at the rank of Deputy Permanent Secretary or Under Secretary for the following four departments: Regional and Bilateral Affairs, Multilateral and Policy Co-ordination, Protocol, and Administration.

estimated period of ten years or more. The prevailing staffing structure dampens morale in the Ministry of Foreign Affairs and International Co-operation (Dogra, 2009: 28, 31).

The literature review indicated that career progression was also slow in other African, Caribbean and Latin America ministries of foreign affairs. It may take one 15 to 20 years of service to become a Consul General and more long years of service to become a Director or Ambassador/High Commissioner (Rana, 2011: 256). It is further estimated that competent diplomats serve over 25 years of experience as deputy head of mission in African, Caribbean, and Latin America ministries of foreign affairs (Rana, 2011: 346). The Ministry of Foreign Affairs and Trade of New Zealand loses talented middle managers because of lack of promotional avenues (McCully, 2011: 4).

#### **7.6.5.2 Induction/orientation of newly appointed officers**

Ideally, career and non-career diplomats should be provided with training upon joining the diplomatic profession for the first time to learn the rudiments of diplomacy (Rana, 2005: 165; Rana, 2011: 2). Question 27B asked respondents to state whether the Ministry of Foreign Affairs and International Co-operation provided induction or orientation to newly appointed officers. 36 (73.5%) of the respondents agreed that the Ministry provided induction, while 13 (26.5%) respondents disagreed.

Document analyses of the organisation and methods review reports of the Ministry of Foreign Affairs and International Co-operation revealed that due to staggered recruitment, sometimes newly recruited officers were not inducted. Staggered recruitment makes it difficult for the Ministry to devise a training programme for newly appointed officers because it would result in multiple

training programmes each time a new officer is recruited. It also makes medium and long-term human resource planning difficult (Dogra, 2009: 14, 18). To curb these problems, Dogra (2009: 8, 15) and Sato (2009: 3) recommended that the Ministry should consider recruiting annually, introducing written examinations and personality tests to assess the aptitude and ability of the candidates, formulating a human resource development plan, and providing training during induction for a period of three months to one year.

According to Rana (2005: 166), the majority of African and Asian ministries of foreign affairs have no training programmes for newly appointed heads of mission. Newly appointed heads of mission often get an initial briefing at the ministry of foreign affairs headquarters and this briefing normally covers the basics of protocol, and the administrative regulations to be followed. Rana argues that lack of training programmes for newly appointed heads of mission disadvantages non-career diplomats from the beginning because they are not taught the skills of effectively running and managing diplomatic missions. However, other ministries of foreign affairs such as those of Canada, China, South Africa and the United States of America organise training programmes for newly appointed heads of mission. The Department of State of the United States of America organises a one-week course at the Foreign Service Institute to familiarise and introduce new Ambassadors to embassy and State Department procedures and rudiments of protocol (Rana, 2005: 165 – 166).

Canada organises an intensive two-week training programme for newly appointed heads of mission to train them on management methods, financial management, human resource management, new technology, and public diplomacy (Rana, 2005: 166). South Africa provides diplomatic training for newly appointed heads of mission to instruct them in the practice of diplomacy, provisions of the Public Finance Management Act of 1999, and performance

management system. The diplomatic training normally takes four months, but can be crammed into three and a half weeks (Leon, 2013: 28 - 32). China organises an intensive two-month training programme which is held thrice a year and is compulsory for all Ambassadors. The two-month training programme covers conventional training in diplomacy, high-level briefings by senior leaders and Cabinet ministers, site visits to provinces, and showcases new developments in the country (Rana, 2005: 166).

#### **7.6.5.3 Job descriptions**

Job descriptions are essential to the successful implementation of the performance management system because they define job holder's overall responsibilities or contribution to institutional and departmental objectives; list the job holder's principal accountabilities, key result areas, duties; and reporting relationships (Armstrong, 1991: 341). They ensure role clarity and optimum utilisation of labour by identifying roles and responsibilities for every employee (Furnham, 2004: 88 – 89). Job descriptions assist to measure, monitor and evaluate staff performance (Armstrong and Baron, 1998: 59; Taylor and Pierce, 1999: 424). Question 27C asked respondents to state whether the Ministry of Foreign Affairs and International Co-operation has job descriptions. 37 (75.5%) of the respondents agreed that the Ministry has job descriptions, while 12 (24.5%) respondents disagreed.

It was established through a follow-up interview with the Ministry Performance Improvement Co-ordinator that it is standard procedure to have a job description for any new position created in the Botswana public service (Personal Interview, G. Englton, 8 June 2013). Some of the respondents indicated that the existing job descriptions were old and overtaken by events. The job descriptions are often irregularly updated and do not reflect the job changes. As a result, roles

and responsibilities of certain positions in Botswana diplomatic missions abroad were blurred, particularly those of the First Secretary Administration, Counsellor, Minister Counsellor and Deputy Ambassador. This often results in multiple reporting, role ambiguity and conflict, co-ordination and leadership problems, and ultimately performance conflict and dysfunction (Blunt and Jones, 1992: 237; Johnston, 2005: 608; Davila, 2008: 50).

Document analyses revealed that there was unequal distribution of workload in the Ministry of Foreign Affairs and International Co-operation. For example, the Deputy Permanent Secretary Corporate Services supervises only two departments, namely Department of Corporate Services and Department of Protocol and Consular Services. On the other hand, the Deputy Permanent Secretary International Relations supervises five departments, namely Department of Africa and the Middle East; Department of Asia and the Pacific; Department of Europe and Americas; Department of Multilateral Affairs; and Department of Public Relations, Research and Information. Out of the twenty-one Botswana diplomatic missions abroad, ten (48%) report to the Director of Africa and the Middle East, while seven (33%) report to the Director of Europe and Americas, and four (19%) report to the Director of Asia and the Pacific (Goitsewang, 2013: 5, 9; Republic of Botswana, Communication Strategy: Ministry of Foreign Affairs and International Co-operation 2013 – 2016, 2013d: 10).

#### **7.6.5.4 Head of mission's instructions**

Ideally, heads of mission (Ambassadors, High Commissioners and Consuls General) should be issued with detailed written instructions outlining the expected performance deliverables before assumption of their new assignment. The heads of mission instructions should be prepared in consultation with other

government ministries and independent departments because of the wide scope of diplomatic work. It is ideal that heads of mission prepare implementation plans for the written instructions within six months. These implementation plans should be complemented by shorter annual performance plans. Heads of mission instructions are essential to the successful implementation of the performance management system because they enable ministries of foreign affairs to carry out periodic evaluations of the work of diplomatic missions abroad; align human and material resources to ministry's goals and objectives; and link performance to rewards and sanctions (Rana, 2011: 176).

Question 27D asked respondents in senior management to indicate whether the Ministry of Foreign Affairs and International Co-operation issued heads of mission instructions. This question was only answered by respondents in senior management because heads of mission instructions are only issued to officers in senior management positions. Out of the 11 respondents in senior management, nine (81.8%) disagreed that the Ministry issues heads of mission instructions, while two (18.2%) agreed. It was established through follow-up interviews with the Ministry Performance Improvement Co-ordinator, Consul General and Ambassador that the Ministry of Foreign Affairs and International Co-operation does not issue heads of mission instructions (Personal interview, G. Englton, 8 June 2013; Personal Interview, A.M. Matsheka, 8 February 2014; Personal Interview, M.P. Lesetedi, 9 February 2014).

The literature review showed that heads of mission instructions were recently introduced by the ministries of foreign affairs of France, Germany, and Japan. France was the trail-blazer of heads of mission instructions. In 2000, Germany borrowed this technique but restricted it to the Foreign Office. Japan started using heads of mission instructions in 2003 (Rana, 2011: 176). Generally,



ministries of foreign affairs issue heads of mission instructions on a once-off basis (Rana, 2005: 92).

#### **7.6.5.5 Performance based budgeting system**

A performance based budgeting system is considered compatible with the performance management system because it links budgets with strategy, performance and value creation (Pollitt, 2001: 18; Daum, 2003: online; Witzel, 2011: online; Creelman, 2012: online). Question 27E asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation uses a performance based budgeting system. 41 (83.7%) of the respondents indicated that the Ministry lacked a performance based budgeting system, while eight (16.3%) respondents agreed that the Ministry has a performance based budgeting system.

As already explained in Chapter Five (see *supra* 5.2.3), the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation, uses line item budgeting system which is considered incompatible with the performance management system and is identified as one of the main causes of implementation failures of change management programmes, including performance management system (Daum, 2003: online). Document analyses of the Ministry of Foreign Affairs and International Co-operation records revealed that the integrated results based budgeting system or zero-based budgeting system will be implemented during the 2014/2015 financial year to phase out line item budgeting which is based on historic expenditure trend. The integrated results based budgeting system will improve the implementation of the performance management system in the Botswana public service by linking strategic plans and annual performance plans with the budgeting process and by ensuring value for money in the delivery of public services by focusing on

achievement of outcomes or results (Republic of Botswana, The Draft National Development Plan 10, 2009a: 28). However, the literature review showed that ministries of foreign affairs often have weak capacities for strategic and budgetary planning (Thannhauser, 2007: 7)

#### **7.6.5.6 Performance contracts system**

It is ideal that executive officers sign performance contracts that outline their performance deliverables. Performance contracts should have in-built mechanisms that link performance with rewards and sanctions (Rana, 2011: 177). They are critical to the successful implementation of the performance management system because they compel executive officers to deliver on the expected performance outputs and outcomes (Mwagiru, 2006: 196). They are used as a management tool that enables strategic focus on key issues and priorities (strategic management), good governance and accountability, human resource management, systems management, and financial management (Phillips, 2012: 5).

Question 27F asked respondents in senior management to indicate whether the Ministry of Foreign Affairs and International Co-operation has a performance contracts system. This question was restricted to respondents in senior management because performance contracts are applicable to officers in senior management positions. Nine (81.8%) of the respondents stated that the Ministry has a performance contracts system, while two (18.2%) indicated that the performance contracts system was non-existent. As already noted in Chapter Five (see *supra* 5.2.4), five-year performance contracts for Permanent Secretaries and Deputy Permanent Secretaries were introduced in the Botswana public service following the adoption of the performance agreement system on 1 April 2004.

According to the Botswana Institute for Development Policy Analysis and United Nations Economic Commission for Africa (2006: 176), performance contracts of the Botswana public service were later suspended because there were no mechanisms put in place to ensure objective performance management and evaluation of senior public officers. During the 2013/2014 financial year, all officers on senior management positions which start from the E2 salary scale and above were required to sign performance contracts.

The literature review showed that performance contracts were used by the ministries of foreign affairs of Australia, Canada, New Zealand, and Switzerland. Australia and New Zealand have better performance contracts systems which promote greater and close dialogue and co-ordination between the ministries of foreign affairs administrative units and territorial departments and the diplomatic missions abroad in planning performance targets and monitoring and evaluation (Rana, 2011: 177).

#### **7.6.5.7      Handing over notes**

Handing over notes are “documents created by staff members who are about to leave their positions, either temporarily or permanently, to assist their successor to carry out their duties” (United Nations, 2012: 312). Handing over notes should be prepared at the end of assignment by all diplomatic staff as a way of preserving institutional memory, promoting professional continuity, and providing information to the successor of the outgoing officer. This is important for the diplomatic profession because it does not permit physical handover from the predecessor to the successor (Rana, 2011: 298). Handing over notes should contain information on countries of accreditation, the state of bilateral relations, major achievements, outstanding matters, and administration matters (Rana, 2011: 300 - 301).

Question 27G asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation used handing over notes. 28 (57.1%) of the respondents agreed that the Ministry used handing over notes, while 21 (42.9%) respondents disagreed. Some of the respondents indicated that though the Ministry used handing over notes, they were not mandatory. Some outgoing officers of the Ministry did not prepare handing over notes for their successors. Handing over notes are critical to the successful implementation of the performance management system because they provide successors with the basic knowledge and information required to perform the job effectively and efficiently so that the transition period runs smoothly and as short as possible (United Nations, 2012: 312 - 314).

Handing over notes provide basic information about the job holder's roles and responsibilities; reporting relationships; status of recent and current activities, projects, reports and meetings; identify critical projects, activities, events, issues, priorities, challenges, and actions; and provide lists of internal and external contacts. They should be accompanied by key documents or reference materials needed to perform the job adequately such as strategic plans, annual performance plans, action plans, work plans, policies, guidelines, procedures, best practices, manuals and modules (United Nations, 2012: 312 - 314).

Handing over notes should be prepared when a staff member is temporarily absent for a month or when the staff member leaves his or her position due to transfer, promotion, retirement and resignation. In case of a temporary absence of one month or more, a staff member who was holding the fort should also prepare handing over notes to ensure a smooth transition back to the substantive holder of the post (United Nations, 2012: 312 - 313).

Ideally, there should be a physical handover from the predecessor to the successor, at least a week before leaving the position. However, this is impossible for the ministries of foreign affairs due to the geographical dispersion of the Ministry headquarters and diplomatic missions abroad (Rana, 2011: 298). In cases where physical handover is impossible, it is recommended that the handing over notes should be left with the immediate supervisor and the predecessor should supplement the handover notes with telephone conversations and electronic mail (United Nations, 2012: 313).

#### **7.6.5.8 Performance appraisal systems**

The performance appraisal system is a critical component of the performance management system that is used to assess employees' performance throughout the year and to attain the institution's vision, mission, values and strategic objectives (Banner and Cooke, 1984: 328; Abdullah and Abraham, 2012: 487). Periodic performance appraisals are necessary to improve operational efficiency, professionalism and accountability for performance results (Republic of Namibia, Namibia's Foreign Policy and Diplomacy Management, 2004: 92). The best performance appraisal systems require self-evaluation by individual staff members and peer group evaluation. They are found in the ministries of foreign affairs of China, Japan, and South Korea (Rana, 2011: 179).

Question 27H asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has performance appraisal systems. 42 (85.7%) respondents agreed that the Ministry has performance appraisal systems, while 7 (14.3%) respondents disagreed. As noted in Chapter Five (see *supra* 5.2.4 and 5.2.5), the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation uses two appraisal systems, namely performance agreement system and the performance based reward

system. The two appraisal systems were introduced on 1 April 2004. The performance agreement system is used by executive officers in the E2 salary scale and above, and the performance based reward system is used by non-executive officers (all officers below the position of Director).

Document analyses of the organisation and methods review reports of the Ministry of Foreign Affairs and International Co-operation revealed that the two prevailing appraisal systems were not customised to suit the specific requirements of the Ministry. The present appraisal form is considered more appropriate to the needs of a private sector institution than the Ministry. The competency based interviews, psychometric tests, inductive and verbal aptitude tests used for appointments to the Director's level are perceived to be inappropriate to measure diplomatic abilities. As a result, there are apprehensions about the fairness of the performance appraisal systems used by the Ministry of Foreign Affairs and International Co-operation (Dogra, 2009: 9, 24, 39). Subjectivity has not been totally eliminated from performance evaluation because there is a portion for assessment of personal attributes in the performance and development plans (Institute of Development Management Consortium, 2006: 61).

Document analyses of the Ministry of Foreign Affairs and International Co-operation's records further revealed that officers were irregularly reviewed. As a result, staff appointments and promotions were sometimes delayed because of lack of performance reviews and supporting recommendations, as was the case on 31 March 2010. Generally, no one reads the performance appraisal forms once they are completed and submitted. Performance feedback is rarely provided (Leon, 2013: 33). This is so because African and Asian cultures are relationship oriented, hence the reluctance by raters to provide negative feedback to avoid offending the ratees (Abdullah and Abraham, 2012: 494).

#### **7.6.5.9 Performance reporting systems**

Performance reporting systems were introduced in recent years to make government ministries and independent departments to report on their work performance as one way of enhancing public accountability. The traditional method of reporting is to present an annual performance report to Parliament (Rana, 2011: 180). Reports are the primary tools used for communicating, monitoring, evaluating and providing dialogue and feedback on work performance (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 33).

Question 27I asked respondents to state whether the Ministry of Foreign Affairs and International Co-operation has performance reporting systems. 39 (79.6%) of the respondents agreed that the Ministry has performance reporting systems, while ten (20.4%) respondents disagreed. The Ministry of Foreign Affairs and International Co-operation uses the balanced scorecard and the issues, implications, actions and accountability format as performance reporting systems. The literature review indicated that the performance-oriented reporting systems used by the public services of Botswana, Brazil, Kenya, Mexico, Tunisia, and Zambia were still at infancy stage (Rana, 2011: 182).

The literature also showed that the Botswana diplomatic missions abroad reported quarterly on their implementation of strategic plans, while the Ministry headquarters reported twice a year its performance to the Economic Committee of Cabinet (see *supra* 5.2.2.3). Ministerial performance reports are submitted after every six months during the months of September and March (Nkhwa, 2003: 7 – 8; Nyamunga, 2006: 6; Scher, 2009a: 401).

The Ministry of Foreign Affairs and International Co-operation uses manual reporting system. Document analyses of the Ministry's records indicated that foreign service personnel often do not record work accomplishments and as a result there was a problem of under-reporting which was identified as one factor that contributes to the Ministry's low performance ratings. Furthermore, the literature review revealed that too much documentation was required for performance reporting and reviews (Institute of Development Management Consortium, 2006: 12). One respondent in middle management noted that "the current reporting systems are time-consuming and duplication. You find that at times you have to report on reporting. The reporting is one-way in the sense that there is no feedback provided."

Similarly, one respondent in senior management noted that "reporting should be consistent and not haphazard. Areas for reporting should not be frequently changed like it is the current practice." Due to capacity constraints, the Ministry of Foreign Affairs and International Co-operation irregularly produces reports on the implementation of regional, continental and international treaties and conventions signed by Botswana (Republic of Botswana, Mid-Term Review of National Development Plan 9, 2006b: 144; Republic of Botswana, Draft Report on the Organisational Restructuring of the Ministry of Foreign Affairs and International Co-operation, 2009d: 36).

As the South African public service experience demonstrates, due to the multiplicity of institutions involved in performance planning, monitoring and evaluation, government ministries and independent departments may be requested three or four times to provide similar performance information and thereby creating additional reporting burdens and reporting fatigue. Due to reporting burdens, the performance management system is often perceived as a non-value adding management tool. Government ministries and independent



departments often lack skills and capacity for performance reporting (Goldman, Engela, Akhalwaya, Gasas, Leon, Mohamed and Phillips, 2012: 2).

#### **7.6.5.10 Monitoring and evaluation systems**

Monitoring and evaluation systems are used to monitor and evaluate the progress of implementation of the performance management system and to resolve problems that emerge during the design and implementation phases (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 104; Antwi, Analoui and Nana-Agyekum, 2008: 261). Question 27J asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has monitoring and evaluation systems. 27 (55.1%) of the respondents agreed that the Ministry has monitoring and evaluation systems, while 22 (44.9%) of the respondents disagreed.

The majority of the respondents who indicated that the Ministry lacked monitoring and evaluation systems stated that performance logs were not maintained, checkpoint meetings were not held, performance reviews were irregularly conducted and that there was no provision of performance feedback. They added that due to protocol duties (facilitation of high level official visits) and participation in international meetings and events, managers often had inadequate time to devote to performance monitoring and evaluation.

The Ministry of Foreign Affairs and International Co-operation lacks a dedicated monitoring and evaluation unit and a monitoring and evaluation policy to ensure that the Ministry uses monitoring and evaluation information to inform improvements and changes to programmes, policies, business processes, strategic plans, and annual performance plans (Phillips, 2012: 6). The Ministry

also lacks a dedicated planning unit. The Ministry does not conduct its own periodic evaluations of the implementation of the performance management system but relies on generic evaluations that are conducted for the whole Botswana public service. As already mentioned in Chapter Five (see *supra* 5.2.8), there were two evaluations that were conducted to assess the implementation of the performance management system in the Botswana public service. The first evaluation which was a mid-term evaluation was conducted by the auditing firm, Ernst & Young, in 2002. The second evaluation which was a terminal evaluation was carried out by the Institute of Development Management Consortium in late 2004.

According to Phillips (2012: 1), the institutionalisation of performance monitoring and evaluation in the public service is constrained by bureaucratic management culture; lack of skills for performance monitoring and evaluation; inadequate binding norms and standards for performance monitoring and evaluation; multiple performance monitoring and evaluation initiatives leading to duplicate reporting; and unclear roles and responsibilities for performance monitoring and evaluation. Bureaucratic management culture militates against the institutionalisation of performance monitoring and evaluation by focusing exclusively on activities rather than outputs and outcomes, following rules and regulations and doing things the way they have always been done. As a result of the exclusive focus on activities, following rules and regulations and maintaining old ways of doing things, inadequate attention is paid to assessing the outcomes and impact of work performance.

#### **7.6.5.11 Recognition and reward systems**

Ideally, performance management systems should have in-built recognition and reward systems (Rana, 2011: 178). Recognition and reward systems are used to

motivate staff by recognising, praising and rewarding excellent work done and to foster sustainability of the good work being done. They are essential ingredients of high staff morale and good staff motivation, which are critical to develop a high performing workforce (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 88). Question 27K asked respondents to state whether the Ministry of Foreign Affairs and International Co-operation has recognition and reward systems. 34 (69.4%) of the respondents agreed that the Ministry has recognition and reward systems, while 15 (30.6%) of the respondents disagreed.

According to the literature review, a rewards menu should have been in place by April 2005 so that performance awards for the 2004/2005 financial year could be paid in that month. Performance rewards were supposed to begin with non-financial rewards and financial rewards were to follow later. However, due to the delays in the roll-out of the performance and development plans, and the decision to extend the performance based reward system to industrial class employees, the implementation of performance based rewards was deferred to the 2005/2006 financial year (Institute of Development Management Consortium, 2006: 59).

According to Dogra (2009: 3), the morale of the staff of the Ministry of Foreign Affairs and International Co-operation is low because of complaints of over-work, inadequate promotion avenues, and lack of transparency in the rewards. Staff welfare is one of the challenges of the Ministry. The conditions of service for both locally recruited staff and the diplomatic staff are poor. Salary structures for locally recruited staff are low and compressed. The rates of Foreign Service Allowance for diplomatic staff are low and are often eroded by fixed exchange rates. As noted by the Minister of Foreign Affairs and International Co-operation on 3 March 2009:

*The issue of [Foreign] Service Allowance has defied a solution for sometime. But we refuse to accept that there is any problem that cannot be solved by our collective wisdom. It is my hope therefore that the question of Foreign Service Allowance will be resolved this year. Our officers at Diplomatic Missions continually face the daunting challenge of having to live on salaries and allowances which are seriously eroded by foreign exchange fluctuations. These rates of exchanges also impact negatively on the annual budgets of the [diplomatic] Missions, to the extent that time and again I have to beseech and besiege my colleague, the Honourable Baledzi Gaolathe, Minister of Finance and Development Planning with requests for a supplementary budget. For instance, during this financial year (2008/2009) as a result of the Pula depreciating against major currencies some [diplomatic] Missions lost more than a Million Pula worth of their approved budget<sup>30</sup>.*

New Foreign Service Allowance rates for the Ministry of Foreign Affairs and International Co-operation were approved and implemented in December 2010.<sup>31</sup> The Ministry in conjunction with the Directorate of Public Service Management and the Ministry of Finance and Development Planning review annually the Foreign Service Allowance rates to take into account the cost of living adjustment. The Foreign Service Allowance rates that were introduced in 2010 were revised during the 2013/2014 financial year.

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<sup>30</sup> Republic of Botswana, Statement to the Committee of Supply by the Honourable Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2009/2010 on 3<sup>rd</sup> March 2009c: 4.

<sup>31</sup> Republic of Botswana, Statement to the Committee of Supply by the Honourable Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2012/2013 on 12 March 2012c: 10.

There are marked disparities between the Foreign Service Allowance rates for Botswana diplomatic missions based in Africa and those in North and South America, Asia, Gulf region and Europe. A high salary scale (E2) top notch is used as a base pay for calculating the Foreign Service Allowance for Botswana diplomatic missions based in North and South America, Asia, Gulf region and Europe, while a lower salary scale (C1) top notch is used for Botswana diplomatic missions based in Africa except Nigeria. The lowest Foreign Service Allowance is R16, 087.02 for single rate and R16, 727.94 for family rate. The highest Foreign Service Allowance is R78, 343.12 for family rate and R76, 952.58 for single rate. The difference between the lowest and highest Foreign Service Allowance for family rate is R61, 615.18, while the difference between the lowest and highest Foreign Service Allowance for single rate is R60, 865.56. The low Foreign Service Allowance rates are a source of demotivation and frustration for foreign service staff posted to Botswana diplomatic missions based in Africa.

#### **7.6.5.12 Communication/information system**

Information management and communication systems are critical to the successful implementation of the performance management system because they assist to collect, analyse, manage and disseminate accurate, relevant and timely performance information. They also assist to provide the information needed for evidence-based planning, and monitoring and evaluation (Kelloway, 2004: 9). Question 27L required respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has a communication or information system. 32 (65.3%) of the respondents indicated that the Ministry has a communication system, while 17 (34.7%) of the respondents disagreed.

The literature review showed that the Ministry headquarters was linked to Botswana diplomatic missions abroad through a secure virtual private network

for electronic mail, faxing and Internet connectivity (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 131). Document analyses of the Ministry's budget vote speeches or statements revealed that the Ministry has a communication strategy which is used to communicate key messages with the local and international community.<sup>32</sup> The Communication Strategy of the Ministry was published in 2013 and shared with critical stakeholders (Republic of Botswana, Communication Strategy: Ministry of Foreign Affairs and International Co-operation 2013 – 2016).

The Ministry of Foreign Affairs and International Co-operation uses the following communication channels: scheduled staff meetings, electronic mails, media interviews (print, radio and television), press releases, press conferences, media briefings, telephone, Ministry website and Botswana diplomatic missions abroad websites, social networks (Facebook and Twitter), newsletters (*Moemedi*/The Envoy, and Mission newsletters), public (*kgotla*) meetings, and Ministry library (Republic of Botswana, Communication Strategy: Ministry of Foreign Affairs and International Co-operation 2013 – 2016, 2013d: 8 – 9). The Ministry lacks an effective communication or information system that provides timely performance information because of inadequate institutional structures and capacity, and communication and operational linkages problems with other government ministries and independent departments.

There are often delays in communicating or disseminating pertinent information to other government ministries and independent departments which result in slow or non-response to offers of assistance from donor countries; failure by the Botswana government to implement and report on its treaty obligations to regional, continental and international organisations; missed opportunities for

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<sup>32</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2009/2010 on 3<sup>rd</sup> March 2009: 6.

strategic partnerships and co-operation agreements with other countries and regions; and missed opportunities to advance Botswana's national interests at regional, continental and international levels (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of the Department of Foreign Affairs, 1994: 32; Republic of Botswana, Draft Report on the Organisational Restructuring of the Ministry of Foreign Affairs and International Co-operation, 2009d: 36). According to Rana (2004: 386), African and Asian ministries of foreign affairs often lack domestic outreach strategies and sections or units for promoting communication and dialogue with domestic and international publics. Historically, ministries of foreign affairs are accustomed to secrecy of information.

#### **7.6.5.13 Equity and grievance redress systems**

Equity and grievance redress systems are critical components of the performance management system in ministries of foreign affairs that are used to ensure transparency, fairness and equity of management decisions relating to salary increases, promotions, training and transfers. Equity and grievance redress systems are mostly used by ministries of foreign affairs to ensure fair and balanced rotations or postings between comfortable and hardship stations. They assist in creating a healthy foreign service by addressing promptly the sources of frustration and grievances and keeping them to the bare minimum (Dogra, 2009: 23; Rana, 2011: 178). Question 27M asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has equity and grievance redress systems. 39 (79.6%) of the respondents indicated that the Ministry lacked equity and grievance redress systems, while ten (20.4%) of the respondents agreed that the Ministry has equity and grievance systems.

Document analyses of organisation and methods review reports of the Ministry of Foreign Affairs and International Co-operation showed that the Ministry lacked robust equity and grievance redress systems. As a result, foreign affairs officers often complain of demoralising transfers (postings) and promotions. Some transfers are perceived as a form of punishment to foreign affairs officers and there are some inconsistencies and unfairness in promotions and further training (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 27; Republic of Botswana, Draft Report on the Organisational Restructuring of the Ministry of Foreign Affairs and International Co-operation, 2009d: 25; Dogra, 2009: 3, 7, 34).

#### **7.6.5.14 Foreign policy document**

A written foreign policy document is critical to the successful implementation of the performance management system because it promotes a more strategic and permanent approach to the management and implementation of foreign policy by providing a guiding framework (Mwagiru, 2006: 196). Furthermore, a written foreign policy document promotes the development of a clear vision and a precise mission of the country's foreign policy. Lastly, it lessens the problem of an *ad hoc* and episodic foreign policy that is widespread when there is no written foreign policy document. This is achieved by following laid down principles and guidelines, proactively influencing the direction of events or shaping the operational environment rather than depending on personalities and reacting to events as they unfold (Mwagiru, 2006: 197).

Question 27N requested respondents to state whether the Ministry of Foreign Affairs and International Co-operation has a written foreign policy document. 38 (77.6%) of the respondents indicated that the Ministry lacked a written foreign



policy document, while 11 (22.4%) respondents said the Ministry has a written foreign policy document.

Document analyses revealed that the Ministry of Foreign Affairs and International Co-operation was drafting Botswana's foreign policy document. A task force on Botswana's foreign policy was formed in March 2011 chaired by the Permanent Secretary of the Ministry of Foreign Affairs and International Co-operation. Two seminars were held to deliberate on Botswana's foreign policy. A Foreign Policy *Pitso* (a public consultative assembly or gathering) was held from 15 to 16 March 2012 to deliberate on a foreign policy guide (Lekoa, 2012: 34).

It is important to consult the general public and other key stakeholders when formulating the country's foreign policy so that there is broad understanding of the nation's foreign policy choices and priorities.<sup>33</sup> This is done to promote national ownership and acceptance of the foreign policy document. The following key stakeholders were consulted: line ministries; research, policy and academic institutions; political parties; employers' associations; farmers' associations; traditional leaders; religious organisations; trade unions; media houses; non-governmental organisations; and former Ambassadors and High Commissioners (Lekoa, 2012: 32; 34). As observed by the former Secretary of State of the United States of America, H. A. Kissinger:

*No foreign policy, no matter how ingenious, has any chance of success if it is born in the minds of few and carried in the hearts of none* (cited in Lekoa, 2012: 1).

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<sup>33</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation presenting the Ministry's Budget Estimates for the Financial Year 2012/2013 on 12 March 2012c: 9.

Although the Ministry of Foreign Affairs and International Co-operation has no written foreign policy document, there are policy statements and other related documents (speeches) that serve as the cornerstones of Botswana's foreign policy. The literature review indicated that the lack of a written foreign policy document makes the implementation, communication, and co-ordination of Botswana's foreign policy to be *ad hoc*. It also results in incoherent and inconsistent foreign policy messages, positions and actions by different arms of the government (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 32; Lekoa, 2012: 2). African countries such as Kenya and Tanzania have written foreign policy documents (Mwagiru, 2006: 196).

#### **7.6.5.15 Well crafted government policies, programmes and strategies**

Economic promotion (economic diplomacy) is one of the main functions of the ministries of foreign affairs (Rana, 2005: 81). To achieve performance objectives relating to promotion of foreign trade, investment, tourism, and economic diversification; ministries of foreign affairs require well crafted government policies, programmes and strategies for promoting trade, investment, tourism, and economic diversification. Question 270 asked respondents to indicate whether there were well crafted government policies, programmes and strategies to promote trade, investment, and tourism. 27 (55.1%) of the respondents stated that there were well crafted government policies, programmes and strategies to promote trade, investment, and tourism, while 22 (44.9%) of the respondents disagreed.

The respondents listed the following as examples of well crafted government policies, programmes and strategies to promote foreign investment, trade,

tourism, and economic diversification: Botswana Excellence Strategy for Economic Diversification and Sustainable Growth; Economic Diversification Drive Strategy; Business and Economic Advisory Council Action Items; Investment Strategy for Botswana; and Botswana National Export Strategy. Botswana has impressive global ratings on democracy, good governance, the rule of law, business and investment. The latest Foreign Policy Journal Baseline Profitability Index<sup>34</sup> ranked Botswana second in the world as an investment destination, and AON<sup>35</sup> 2013 Political and Terrorism Risk Maps rated Botswana among the twelve world's safest destinations for tourism, business and investment (Ramsay, 2013: online).

#### **7.6.6 Dimension 6: The human resource base**

The research questions under this dimension sought to establish whether the Ministry of Foreign Affairs and International Co-operation had adequate human and institutional capacity and a critical mass of champions of the performance management system.

##### **7.6.6.1 Human and institutional capacity**

As explained in Chapter Three (see *supra* 3.5.6.1), institutions need highly skilled and competent performance management system co-ordinators to implement and manage the performance management system. Question 32.2 asked

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<sup>34</sup> The Baseline Profitability Index surveyed 102 countries in terms of their attractiveness as an investment destination. The top five locations were Hong Kong, Botswana, Taiwan, Singapore and Rwanda.

<sup>35</sup> AON Public Limited Company is a leading international risk management firm. The 2013 Terrorism and Political Risk Maps surveyed 200 countries and territories. The twelve countries considered having negligible risk in terms of political risk, civilian unrest and acts of terrorism are Australia, Botswana, Denmark, Finland, Iceland, Japan, Luxembourg, Namibia, New Zealand, Switzerland, Tuvalu and Uruguay. Africa and the Middle East were rated as the worst's most unstable regions.

respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has well-trained and skilled Ministry Performance Improvement Co-ordinator, Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators to facilitate effective implementation of the performance management system. 39 (79.6%) of the respondents indicated that these officers were somewhat competent to perform their roles, while seven (14.3%) of the respondents stated that these officers were not well-trained and skilled to perform their roles, and three (6.1%) stated that these officers were well-trained and skilled.

The Ministry of Foreign Affairs and International Co-operation has only one Ministry Performance Improvement Co-ordinator, seven Department Performance Improvement Co-ordinators and twenty-one Mission Performance Improvement Co-ordinators. The Office of the Ministry Performance Improvement Co-ordinator (Reforms Unit) has only three officers to service seven departments and twenty-one Botswana diplomatic missions abroad. Document analyses showed that the Office of the Ministry Performance Improvement Co-ordinator provided inadequate support in the following strategic management functions: strategic planning, balanced scorecard, performance appraisal, and business process re-engineering (Republic of Botswana, Draft Report on the Organisational Restructuring of the Ministry of Foreign Affairs and International Co-operation, 2009d: 34).

The study also found that the institutional structures that were established to facilitate the effective implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation such as the Ministerial Performance Improvement Committee and Departmental Performance Improvement Committees were weak. 31 (88.6%) of the respondents indicated that these committees worked occasionally, while four (11.4%) of the

respondents indicated that these committees were very effective. Document analyses of the Ministry's records showed that Ministerial and Departmental Performance Improvement Committees were established in August 2008 for the following five purposes.

First, Ministerial and Departmental Performance Improvement Committees were established to champion public service reforms and performance improvement programmes in the Ministry, departments and Botswana diplomatic missions abroad. Second, they were established to improve effective implementation and reporting on performance improvement programmes, including the performance management system. Third, they were established to provide guidance to the Ministry, departments and Botswana diplomatic missions abroad on public service reforms and performance improvement programmes. Fourth, these committees were established to initiate and co-ordinate the preparation and submission of ministerial, departmental and mission performance reports on a fortnightly, monthly, quarterly and biannually basis. Lastly, they were established to provide performance feedback to Botswana diplomatic missions abroad on submissions made.

Due to the geographical dispersion of the Botswana diplomatic missions abroad, it is expensive to conduct training under one roof for performance improvement co-ordinators. To save costs, the Ministry normally organises regional workshops for the Botswana diplomatic missions abroad to train staff members on performance management and to cascade the Ministry strategic plan and national development plan. One respondent in middle management noted that "Department and Mission Performance Improvement Co-ordinators are

frequently changed and have neither time<sup>36</sup> to provide guidance on a continual basis nor even to get proper training themselves.”

The study found that the Ministry of Foreign Affairs and International Co-operation uses a mixed system to appoint performance improvement co-ordinators. The Ministry Performance Improvement Co-ordinator is appointed based on merit, while Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators are appointed based on either seniority (position) or volunteerism (enthusiasm for the performance management system). The appointment of the Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators is a prerogative of the Directors, Ambassadors and High Commissioners (Personal interview, G. Englton, 8 June 2013; Personal Interview, A.M. Matsheka, 8 February 2014; Personal Interview, M.P. Lesetedi, 9 February 2014).

#### **7.6.6.2 Champions of the performance management system**

As already noted in Chapter Three (see *supra* 3.5.6.2), champions of the performance management system are needed to successfully implement the programme. The support from the highest political and administrative leadership is critical to the successful implementation of the performance management system. Question 34 asked respondents in senior management to indicate whether the President of Botswana, Vice President, Minister of Foreign Affairs and International Co-operation, Minister for Presidential Affairs and Public Administration, Permanent Secretary to the President, Director of the Directorate of Public Service Management, Director General of the National Strategy Office,

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<sup>36</sup> Department and Mission Performance Improvement Co-ordinators juggle their job responsibilities with performance management functions.

and senior management of the Ministry of Foreign Affairs and International Co-operation provided adequate support to the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. Table 7.9 below shows that an overwhelming majority of the respondents in senior management indicated that the highest political and administrative leadership provided adequate support to the implementation of the performance management system in the Ministry.

**Table 7.9 Support for the implementation of the performance management system by political and administrative leadership**

HIGHEST POLITICAL AND ADMINISTRATIVE LEADERSHIP	NUMBER AND PERCENTAGE OF RESPONDENTS WHO ANSWERED YES	NUMBER AND PERCENTAGE OF RESPONDENTS WHO ANSWERED NO
President of Botswana	10 (90.9%)	1 (9.1%)
Vice President of Botswana	10 (90.9%)	1 (9.1%)
Minister of Foreign Affairs and International Co-operation	11 (100%)	-
Minister for Presidential Affairs and Public Administration	9 (81.8%)	2 (18.2%)
Permanent Secretary to the President	10 (90.9%)	1 (9.1%)
Director of the Directorate of Public Service Management	10 (90.9%)	1 (9.1%)
Director General of the National Strategy Office	9 (81.8%)	2 (18.2%)
Permanent Secretary of the Ministry of Foreign Affairs and International Co-operation	9 (81.8%)	2 (18.2%)
Deputy Permanent Secretaries	9 (81.8%)	2 (18.2%)
Directors and Heads of Mission	9 (81.8%)	2 (18.2%)

The performance management literature also shows that the highest political and administrative leadership of the Botswana public service has demonstrated

visionary leadership, commitment and support to the implementation of the performance management system. Botswana is classified as an advanced reformer because it is one of the early adopters of the performance management system in Africa. The implementation of the performance management system is a government top priority and the commitment to its implementation has not wavered over the years (African Development Report, 2005: 142; Adamolekun, 2005: 29; Hendricks, 2006: 1; Scher, 2009a: online).

In addition to the support of the highest political and administrative leadership, a critical mass of champions of the performance management system should exist within the institution. Question 33 asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation had champions of the performance management system. 31 (63.3%) of the respondents indicated that the Ministry has no champions of the performance management system, while 18 (36.7%) respondents agreed that the Ministry has champions. This was a surprising finding in the sense that many officers in middle and senior management positions did not consider themselves champions of the performance management system.

Out of the 18 respondents who agreed that the Ministry of Foreign Affairs and International Co-operation has champions of the performance management system, only seven (14.3%) listed Performance Improvement Co-ordinators as the champions. Only one (2%) respondent in senior management indicated that all officers holding managerial or executive positions were champions of the performance management system. The remaining ten (20.4%) respondents could not list the champions of the performance management system in the Ministry.



The study findings indicate that the Ministry of Foreign Affairs and International Co-operation lacks a critical mass of noticeable champions or promoters of the performance management system. 31 (63.3%) of the respondents did not consider the implementation of the performance management system as a responsibility of every employee. Six (7%) of the respondents were of the view that the implementation of the performance management system was the responsibility of the Ministry Performance Improvement Co-ordinator, Department Performance Improvement Co-ordinators, and Mission Performance Improvement Co-ordinators. Consequently, the implementation of the performance management system in the Ministry has been left to the Ministry Performance Improvement Co-ordinator, Department Performance Improvement Co-ordinators, and Mission Performance Improvement Co-ordinators alone because most employees do not consider performance management as their core business.

#### **7.6.7 Dimension 7: Programme stakeholders**

The involvement and support of key stakeholders such as top management, middle management, rank and file employees, trade unions, political leaders and the general public is considered critical to the implementation of the performance management system because it assists in strategy development, service planning and assessment of stakeholder satisfaction by identifying the needs, expectations and priorities of stakeholders (Armstrong and Baron, 1998: 379; Wisniewski and Stewart, 2004: 223). Question 37.1 asked respondents to list the forums that the Ministry of Foreign Affairs and International Co-operation used to consult key stakeholders such as ministry staff, trade unions and staff associations, political leaders and the general public.

A significant number of the respondents (34 = 69.4%) stated that they were consulted during the implementation phase through staff meetings, performance management workshops and seminars, retreats, strategy development and review meetings. 27 (55.1%) respondents stated that trade unions and political leaders were consulted by the employer (Directorate of Public Service Management). The then two major public service trade unions, namely Botswana Civil Servants Association and Manual Workers Union were consulted through the National Joint Industrial Co-ordinating Committee, which was a consultative forum between the public service trade unions and the employer. It is important that trade unions and staff associations representing public servants should be involved in the process of initiating the acceptance of the public service reform programmes. Trade unions and staff associations play an instrumental role in the management of industrial relations in the workplace (Institute of Development Management Consortium, 2006: 59).

The Botswana Civil Servants Association and Manual Workers Union were involved in the consultations held in late 2003 to support the implementation of the performance agreement system and the performance based reward system. The two trade unions endorsed the performance agreement system and the performance based reward system because they believed the two systems would remove subjectivity in staff performance evaluations, and allow for joint establishment and agreement of performance targets, and link pay with performance (Republic of Botswana, Mid-Term Review of National Development Plan 8, 2000: 50; Institute of Development Management Consortium, 2006: 59).

Political leaders (Cabinet ministers and members of Parliament) were consulted through workshops that were specifically organised for Botswana Cabinet and Members of Parliament to fully understand and appreciate the performance management system and its benefits (Bashe and Jongman, 2006: 24; Institute of

Development Management Consortium, 2006: 1- 2; Dzimbiri, 2008: 49). The general public was consulted through radio phone-in programmes such as "Talking Heads" and "*Tokafatso Maduo*" (which means improving performance results), *kgotla* (public) meetings, press conferences, media interviews and commemorative events such as Public Service Day, African Union Day and Commonwealth Day.<sup>37</sup>

### **7.6.8 Dimension 8: Programme context**

The research questions under this dimension sought to establish which environmental scanning tool was used by the Ministry of Foreign Affairs and International Co-operation. The research questions also sought to establish whether the institutional and external environments supported the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation.

#### **7.6.8.1 Environmental scanning tool**

As explained in Chapter Three (see *supra* 3.5.8.2), there are two popular analytical tools used to scan the environment, namely Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis, and Performance-Importance, Opportunity and Threat matrices. Question 40 asked respondents to indicate which analytical tool was used by the Ministry of Foreign Affairs and International Co-operation for environmental scanning. 49 (100%) of the respondents indicated that the Ministry used SWOT analysis for environmental scanning. It was confirmed in Chapter Five (see *supra* 5.2.2.1) that the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation

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<sup>37</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2011/2012 on 17 March 2011: 11.

uses SWOT analysis for environmental scanning, and as an ongoing performance management tool for strategy formulation and execution.

Question 41 asked respondents to indicate whether the analytical tool used by the Ministry of Foreign Affairs and International Co-operation for environmental scanning was simple and practical or sophisticated and complex. 38 (77.6%) of the respondents indicated that the SWOT analysis was simple and practical, while 11 (22.4%) respondents indicated that it was sophisticated and complex. This study finding confirms findings by previous studies such as those by Pickton and Wright (1998: 104); Niven (2003: 137) and Whitehead (2011: 15) that the complexity of the SWOT analysis is often underestimated in many institutions.

The literature review showed that the environmental scanning capabilities of the Ministry of Foreign Affairs and International Co-operation were generally weak and reactive. The Ministry lacks vigilant and anticipative strategies to effectively scan the domestic and international environment and to alert the Botswana government to expeditiously respond. It has weak capabilities to forecast, plan, analyse, observe and monitor developments, events and trends, conduct research, policy development and analysis, and disseminate information. The Ministry has a small Department of Public Relations, Research and Information, which has a staff complement of nine. According to the findings of the Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs of 1994 (page 45), "majority of issues are addressed and managed as and when they emerge on an *ad hoc* basis and at times in a crisis management fashion."

Due to capacity constraints and limited scanning capabilities, the Ministry of Foreign Affairs and International Co-operation is often unable to influence world events and exploit opportunities made available by strategic partnerships with

co-operating partners<sup>38</sup>, regional co-operation and integration, globalisation and trade liberalisation. Moreover, co-ordination and communication challenges often result in delays in taking advantage of opportunities offered for foreign direct investment, development and technical assistance.<sup>39</sup>The general weaknesses of the SWOT analysis, including those of the Botswana public service were discussed in Chapter Three (see *supra* 3.5.8.2.1).

## **7.6.8.2 Institutional environment**

As explained in Chapter Three (see *supra* 3.5.8.3), the following factors in the institutional environment are critical to the successful implementation of the performance management system: institutional structure, performance-oriented culture, decentralised management authority, learning and measurement culture, democratic management style, risk-taking culture, proper office space and accommodation, and work systems and processes.

### **7.6.8.2.1 Institutional structure**

An adequate institutional structure is a prerequisite and critical tool for efficient and effective management of any institution. An adequate institutional structure has the right calibre staff appointed to the right positions at the right time and in sufficient numbers to effectively execute the institutional mandate (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 44). The right institutional structure and work systems and processes are needed to effectively implement the

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<sup>38</sup> These include joint permanent commissions for co-operation agreements; memoranda of understanding; and trade agreements.

<sup>39</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation presenting the Ministry's Budget Estimates for the Financial Year 2011/2012 on 17 March 2011: 14.

performance management system and corporate strategy (Institute of Development Management Consortium, 2006: 44). Question 42A asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation had a proper institutional structure to support the implementation of the performance management system. 30 (61.2%) of the respondents indicated that the institutional structure of the Ministry was adequate, while 19 (38.8%) of the respondents stated that the institutional structure was inadequate.

Organisational reviews and restructuring reports and consultancy studies have revealed that the current institutional structure of the Ministry of Foreign Affairs and International Co-operation and the institutional structures of Botswana diplomatic missions abroad were inadequate to ensure effective delivery of the institutional mandate. The current structures are considered inadequate because of critical shortage of staff, increased responsibilities of the Ministry, and limited geographical spread of Botswana diplomatic missions abroad.<sup>40</sup> The Ministry lacks full diplomatic representation in all continents. Continents or regions that have no diplomatic representation are serviced from the Ministry's headquarters (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 11; Republic of Botswana, Draft Report on the Organisational Restructuring of the Ministry of Foreign Affairs and International Co-operation, 2009d: 5; Dogra, 2009: 30).

The majority of Botswana's diplomatic missions abroad are located in Africa. However, the country has no full diplomatic representation in all the five regions

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<sup>40</sup> Other countries of similar size to Botswana such as Namibia have roughly the same number of diplomatic missions abroad. As of March 2004, Namibia had twenty-two diplomatic missions abroad (Republic of Namibia, Namibia's Foreign Policy and Diplomacy Management, 2004: 46). Countries with larger economies and populations such as South Africa have more diplomatic missions abroad. South Africa has more than 110 diplomatic missions abroad (Leon, 2013: 97).

of Africa. Out of the twenty-one Botswana diplomatic missions abroad, nine are in Africa, which represents 43%.<sup>41</sup> In Africa, Botswana's diplomatic representation is concentrated in Southern Africa where it has six diplomatic missions in (1) Maputo, Mozambique, (2) Windhoek, Namibia, (3) Johannesburg, South Africa, (4) Pretoria, South Africa, (5) Lusaka, Zambia, and (6) Harare, Zimbabwe. As explained by Rana (2011: 64), this is so because small countries often need diplomatic representation with their neighbours<sup>42</sup>, and major powers, especially the former colonial power and major foreign aid donors.

Botswana has two diplomatic missions in East Africa, namely in Addis Ababa, Ethiopia; and Nairobi, Kenya. It has only one diplomatic mission in West Africa in Abuja, Nigeria. It has no diplomatic mission in Central and North Africa. Botswana has limited diplomatic representation<sup>43</sup> in Asia, Americas, Europe, and Latin America (Dogra, 2009: 2). As a result of the limited diplomatic representation, the Ministry relies heavily on multiple accreditations to cover countries that have no resident Botswana diplomatic missions. Multiple accreditations assist to widen diplomatic representation and ensure judicious utilisation of financial and human resources. However, frequent travelling to the countries of accreditation is often hindered by resource constraints.<sup>44</sup> As of 17

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<sup>41</sup> The nine Botswana diplomatic missions abroad located in African countries are in (1) Addis Ababa, Ethiopia, (2) Nairobi, Kenya, (3) Maputo, Mozambique, (4) Windhoek, Namibia, (5) Abuja, Nigeria, (6) Johannesburg, South Africa, (7) Pretoria, South Africa, (8) Lusaka, Zambia, and (9) Harare, Zimbabwe.

<sup>42</sup> This viewpoint is also stressed in Namibia's foreign policy. The country's foreign relations start with its own neighbourhood (Southern Africa), then Africa, and other countries of the world (Republic of Namibia, Namibia's Foreign Policy and Diplomacy Management, 2004: 103).

<sup>43</sup> The problem of limited diplomatic representation is not only restricted to developing countries in Africa, but also developed countries such as New Zealand. As of April 2011, New Zealand only had two diplomatic missions in Africa, namely, Pretoria, South Africa, and Cairo, Egypt. It also had limited diplomatic representation in Asia and the Middle East (McCully, 2011: 3).

<sup>44</sup> Republic of Botswana, Statement to the Committee of Supply by the Honourable Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2009/2010 on 3<sup>rd</sup> March 2009c: 6.

March 2011, Botswana had established diplomatic relations with 145 countries, out of the total United Nations membership of 192 countries.<sup>45</sup>

Inadequate institutional structures affect the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation in several ways. First, they weaken the administrative capabilities of the Ministry and Botswana diplomatic missions abroad to deliver on the institutional mandate. Second, inadequate institutional structures result in uneven distribution of functions (functional workload imbalance), incoherent grouping of functions, and some functions being performed on *ad hoc* basis. Third, inadequate institutional structures make delegation of responsibilities, setting of performance standards, job evaluation and performance evaluation difficult to undertake. Finally, inadequate institutional structures result in overworked staff and mismatch of responsibilities where senior staff do routine work, while junior officers are assigned responsibilities beyond their job ranks (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 16 - 17; 28 – 29; Republic of Botswana, Draft Report on the Organisational Restructuring of the Ministry of Foreign Affairs and International Co-operation, 2009d: 5; Dogra, 2009: 2).

#### **7.6.8.2.2 Performance-oriented culture**

A performance-oriented culture is considered critical for the successful implementation of the performance management system (Blunt and Jones, 1992: 228; Andrews, Comini and Veira, 1999: 491; Furnham, 2004: 84). As explained in Chapter Two (see *supra* 2.5), the performance-oriented culture is based on

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<sup>45</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2011/2012 on 17 March 2011: 10 - 11.



the principle of equity and managed by means of performance, which means that two employees in the same job with the same experience and qualifications should not be paid the same unless their productivity is the same. The historic public service culture on other hand is based on the principle of experience and equality, that is, employees in the same job with the same experience and qualifications are paid equally and have the same prospects of promotion, irrespective of performance (Furnham, 2004: 84 -85).

Question 42B asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has a performance-oriented culture. 26 (53.1%) of the respondents indicated that the Ministry lacked a performance-oriented culture, while 23 (46.9%) respondents indicated that the Ministry has a performance culture. The majority of the respondents stated that the culture of performance management was new in the Ministry and still has to be instilled.

The performance management literature showed that African and Asian cultures lack a performance-oriented culture. African and Asian cultures are perceived to be more relationship oriented, hence the reluctance by African and Asian public service managers to provide negative performance feedback and to address problems of poor work performance (Blunt and Jones, 1992: 228; Beugré and Offodile, 2001: 541; Schacter, 2005: 6; Abdullah and Abraham, 2012: 494). Results-oriented practices are not yet entrenched in African, Asian, and Latin American ministries of foreign affairs because the performance management system is still a relatively new management technique that was introduced around 2000 (Rana, 2011: 173). Studies by Andrews, Comini and Vieira (1999: 491); Furnham (2004: 84); and Laurin and Wagner (2011: 37) show that it is often difficult for public service institutions to shift from the historic public service culture and the bureaucratic model of public administration to a performance-oriented culture.

#### **7.6.8.2.3 Decentralised management authority**

Managerial authority should be decentralised to grant public service managers the authority and power to make important management decisions and actions without referral to headquarters. Decentralised management authority enhances operational efficiency and effectiveness, promotes prompt decision-making and action, and adaptability to the operational environment (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 84).

Question 42C asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has decentralised management authority to support the implementation of the performance management system. 29 (59.2%) of the respondents indicated that the Ministry has centralised management authority, while 20 (40.8%) indicated that the Ministry has decentralised management authority. The literature showed that the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation has centralised management authority. This is so because the Constitution of Botswana of 1966 (Chapter 1), Public Service Act (Act Number 30 of 2008), and the Finance and Audit Act (Chapter 54: 01) only delegate functions and authorities to line ministries, but retain constitutional and legislative powers and accountability to central authorities such as the Directorate of Public Service Management; Ministry of Finance and Development Planning; Attorney General's Chambers; Central Transport Organisation; Department of Buildings and Engineering Services; and the Department of Supply (Botswana Institute for Development Policy Analysis and United Nations Economic Commission for Africa, 2006: 175; Institute of Development Management Consortium, 2006: 44).

Management functions related to finances, procurement and supplies, legal services, human resources, project planning, information technology, and maintenance of buildings, office equipment and vehicles are centralised. To perform these functions, government ministries and independent departments often have to obtain approval from central authorities such as the Ministry of Finance and Development Planning; Public Procurement and Asset Disposal Board; Attorney General's Chambers; Directorate of Public Services Management; Accountant General; Department of Supply; Department of Information Technology; and Department of Buildings and Engineering Services. Government ministries and independent departments often have to wait for an average of three months to get approval or service from these central authorities. There are often inordinate delays because the central authorities are over-stretched and have poor work processes (Botswana Institute for Development Policy Analysis and United Nations Economic Commission for Africa, 2006: 176).

#### **7.6.8.2.4 Learning and measurement culture**

The successful implementation of the performance management system requires an institutional culture that promotes continuous performance improvement, learning and measurement (Armstrong and Baron, 1998: 112; Kennerley and Neely, 2002: 1242). A learning institution has structures and processes that improve the institution's ability to react to, adapt to, and capitalise on changes in its internal and external environment (Amaratunga and Baldry, 2002: 222). Question 42D asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has a learning and measurement culture. 34 (69.4%) of the respondents indicated that the Ministry lacks a learning and measurement culture, while 15 (30.6%) of the respondents indicated that the Ministry has a learning and measurement culture.

Generally, ministries of foreign affairs lack a learning and measurement culture. Due to the sensitivities of the ministries of foreign affairs, it is often rare for ministries of foreign affairs to learn from their counterparts through benchmarking, request for technical assistance, study tours, research and knowledge exchanges, seminars and conferences. Ministries of foreign affairs often prefer to use multilateral institutions such as the Commonwealth Secretariat and the United Nations Institute for Training and Research rather than bilateral partners for training and learning (Rana, 2011: 343).

Learning from others is crucial to the successful implementation of the performance management system because it may assist to speed up the implementation process by drawing on international best practices and to avoid reinventing the wheel (Goldman, Engela, Akhalwaya, Gasu, Leon, Mohamed and Phillips, 2012: 9). The literature review also showed that the diplomatic profession is steeped in old or well-established norms, practices, principles, traditions, values and protocol that may discourage adoption of new ideas and learning by emphasising hierarchy and bureaucratic rigidity (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 43; Rana, 2011: 264).

#### **7.6.8.2.5 Democratic management style**

A participatory and inclusive (democratic) style of management is suitable for the successful implementation of the performance management system than an authoritarian style. A democratic management style encourages employee involvement in decision-making and thereby enhancing initiative and creativity. It stimulates employee commitment, loyalty, motivation and job satisfaction (Hope, 2002: 534). Question 42E asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has a democratic management

style. 31 (63.3%) of the respondents indicated that the Ministry has a democratic management style, while 18 (36.7%) stated that the Ministry lacked a democratic management style.

The majority of the respondents stated that the Ministry of Foreign Affairs and International Co-operation promoted a democratic management style through the formation of committees that involve staff members in decision-making processes. The Ministry established Visa; Procurement; and Corruption Prevention Committees at the Ministry headquarters and Botswana diplomatic missions abroad to promote participative or democratic leadership and to ensure that decision-making processes are transparent and key decisions are not made by a single individual employee to curb corruption and abuse of office. Generally, management styles in Africa are perceived to be authoritarian and paternalistic emphasising absolute obedience to authorities and elders (Blunt and Jones, 1992: 252; Beugré and Offodile, 2001: 538).

#### **7.6.8.2.6 Risk-taking culture**

A risk-taking culture is critical to the successful implementation of the performance management system because it encourages employees to be creative and to set challenging and stretching performance targets. Question 42F asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has a risk-taking culture. 36 (73.5%) of the respondents indicated that the Ministry lacked a risk-taking culture, while 13 (26.5%) of the respondents stated that it has a risk-taking culture.

Document analyses of organisation and methods review reports revealed that the Ministry of Foreign Affairs and International Co-operation promoted a risk-averse culture rather than a risk-tolerant culture because of the sensitivity of its

responsibilities. Partly because of the risk-averse culture, there is lack of delegation. Most of the sensitive responsibilities are performed by high-ranking officers who are most senior and more experienced. This is justified on the grounds that any wrong decision made can have adverse consequences on economic, political, and security relations with co-operating partners. Consequently, most senior and experienced officers are overstretched and burdened with work (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994:16 – 17).

Studies show that African public service managers are generally overworked because they are often unwilling to delegate responsibilities (Blunt and Jones, 1992: 82; Beugré and Offodile, 2001: 545; Mutahaba and Ally, 2008: 1). According to Rana (2011: 184), overstretched and burdened officers cannot deliver on their institutional mandate and exploit strengths and new opportunities. In addition, the Ministry of Foreign Affairs and International Co-operation uses line item budgeting, which according to the literature stifles innovation and creativity by making employees to fear taking risks such as setting challenging and stretching performance targets and encourages gaming and dysfunctional behaviours such as setting lowest performance targets that are easily attainable to get performance rewards (Daum, 2003: online; Fryer, Antony and Ogden, 2009: 486; Player, 2009: 4; Marobela and Mawere, 2011: 5317; Creelman, 2012: online; Hope and Player, 2012: 32).

#### **7.6.8.2.7 Office space and accommodation**

The office buildings that the Ministry of Foreign Affairs and International Co-operation and the Botswana diplomatic missions abroad occupy should project a

good image of Botswana.<sup>46</sup> The working environment should be conducive, clean and secure and the facilities should be modern and well maintained to boost employee self-esteem, motivation, productivity and job satisfaction (Hope, 2002: 533). Question 42G asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has adequate office space and accommodation. 27 (55.1%) of the respondents indicated that the Ministry has inadequate office space and accommodation, while 22 (44.9%) of the respondents stated that office space and accommodation were adequate.

Document analyses of the Ministry's budget speeches to the Botswana Parliament indicated that the Ministry lacked office space and accommodation. As observed by the Minister on 3 March 2009, the Ministry headquarters is "housed in old buildings whose heating and cooling systems as well as toilet facilities are in urgent need of being overhauled. In the same regard, some of our [diplomatic] Mission buildings require refurbishment and there is need for additional accommodation for staff."<sup>47</sup> Due to office space shortage, officers often share offices. Sharing of offices often results in overcrowding which lowers productivity and impinges on the privacy of both clients and officials. In some cases, shortage of office space has delayed the filling of vacancies, and creation of new positions (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 33).

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<sup>46</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2009/2010 on 3<sup>rd</sup> March 2009c: 7.

<sup>47</sup> Republic of Botswana, Statement to the Committee of Supply by the Honourable Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2009/2010 on 3<sup>rd</sup> March 2009c: 4.

Document analyses revealed that it is costly to open, construct and renovate office buildings (chanceries) for Botswana diplomatic missions abroad<sup>48</sup>. For example, it was estimated in March 2009 that the establishment of a resident Botswana diplomatic mission in Brasilia, Brazil would cost 20 million pula. The construction of a chancery building in Pretoria, South Africa was estimated to cost 67.5 million and the construction of chancery buildings in Addis Ababa, Ethiopia and Abuja, Nigeria was estimated to cost 59.5 million pula for each building.<sup>49</sup>

The renovation of the chancery building in New York, United States of America was estimated to cost 17.2 million pula. The purchase of an official residence for the Consul General in Johannesburg, South Africa was estimated to cost 5 million pula. The costs of rentals for houses for the diplomatic staff at the Botswana diplomatic missions abroad are high because of escalations of property rentals. For instance, during the 2012/2013 financial year, 67, 054 million pula was allocated for property rentals and rates for Botswana diplomatic missions abroad.<sup>50</sup>

#### **7.6.8.2.8 Work systems and processes**

To effectively implement the performance management system, an institution needs work systems, methods, procedures and practices that promote

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<sup>48</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2009/2010 on 3<sup>rd</sup> March 2009c: 7 - 8.

<sup>49</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2012/2013 on 12 March 2012c: 10.

<sup>50</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2012/2013 on 12 March 2012c: 10.



operational efficiency by removing excessive bureaucracy and unnecessary delays and red tape (Republic of Botswana, Organisation and Methods Review Report on Organisation Review of Department of Foreign Affairs, 1994: 83). Question 42H asked respondents to indicate whether the Ministry of Foreign Affairs and International Co-operation has proper work systems and processes. 29 (59.2%) of the respondents indicated that the Ministry has proper work systems and processes, while 20 (40.8%) of the respondents indicated that the work systems and processes were cumbersome.

The study found that in some of the countries that Botswana has resident diplomatic missions, there were rigid procedures for construction and renovation of properties such as Ethiopia and the United States of America. For example, the renovation works of the chancery building in New York, United States of America was delayed because of complex and lengthy closeout procedures which require full compliance with city codes and relevant ordinances that can take up to a year to complete.<sup>51</sup>

### **7.6.8.3 External environment**

Factors in the external environment such as the political and administrative system and information and communications technology infrastructure may affect the implementation of the performance management system.

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<sup>51</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2012/2013 on 12 March 2012c: 11.

#### **7.6.8.3.1 Political and administrative systems**

Studies show that some political and administrative systems are more favourable to the implementation of the performance management system than others. Generally, the implementation of the performance management system has fared better in countries with majoritarian party systems ruled by conservative governments and right-wing political parties which follow the Anglo-Saxon administrative traditions of clear separation of careers between politicians and senior civil servants; and have cultures that score lower on uncertainty avoidance and higher on individualism. Conversely, the implementation of the performance management system has been poor in countries with consensualist systems ruled by left-wing governments and political parties which follow the "*Rechtsstaat*" administrative traditions that lack clear separation of careers between politicians and senior civil servants; and have cultures that score higher on uncertainty avoidance and higher on collectivism (Pollitt, 2005: 28; Christensen and Laegreid, 2008: 9; Bouckaert and Halligan, 2009: 6; Dahlström and Lapuente, 2009: 2).

Question 43A and 43B asked respondents to indicate whether the political and administrative systems were favourable to the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. 37 (75.5%) of the respondents indicated that the political and administrative systems were favourable to the implementation of the performance management system. The Botswana public service operates in the Anglo-Saxon political administrative system, which is compatible with the implementation of the performance management system. Botswana has a majoritarian parliamentary system dominated by the ruling Botswana Democratic Party which embraces the New Public Management doctrines, including the performance management system.

The ruling Botswana Democratic Party has been in power since independence in 1966. For the past 48 years, there had been orderly change of four Presidents, namely Sir S. Khama, Sir K. Masire, F.G. Mogae, and Lieutenant General S.K.I. Khama (current) (Kiragu and Mukandala, 2003: online; Hillbom, 2012: 86). Political stability, continuity and commitment from the political leadership of Botswana had ensured that the implementation of public service reforms, including the performance management system do not lose momentum or waver. According to Kiragu and Mutahaba (2006: 15) and Goldman, Engela, Akhalwaya, Gasa, Leon, Mohamed and Phillips (2012: 9), political instability, especially at the presidency level has resulted in reduced support and commitment to the implementation of the performance management system in countries such as Australia, Kenya, Malawi and Zambia.

Botswana is a developmental state with effective public administration institutions, including a professional public service with an established tradition of implementing sound development policies and public service reforms that are nationally-driven and financed (Ayeni, 2001: 3; Adamolekun, 2005: 30; African Development Report, 2005: 142). Botswana is an upper middle-income country with a low debt burden, which enables it to self-finance the implementation of the performance management system without relying on external (donor) support or funding (African Development Report, 2005: 138, 142).

Although the political and administrative systems are favourable, the Ministry of Foreign Affairs and International Co-operation and Botswana diplomatic missions abroad operate in a global environment characterised by competition, risk, volatility, uncertainty, complexity and ambiguity (Franke, 2011: 1; Lekoa, 2012: 21). The global environment militates against the successful implementation of the performance management system because it undermines the Ministry's efforts to mobilise development and technical assistance, and attraction of

foreign direct investment<sup>52</sup>. Botswana's classification as an upper middle-income country disadvantages the country from obtaining concessional assistance<sup>53</sup> because it is considered better off than least developed countries.

#### **7.6.8.3.2 Information and communications technology infrastructure**

The successful implementation of the performance management system requires state-of-the art information and communications technology infrastructure that enables the application of information and communications technologies and web-based technology solutions which will allow automation of systems; online delivery of services (electronic services); process re-engineering; use of electronic mail and introduction of workflow management systems. The use of information and communication technologies and web-based technology solutions is likely to enhance operational efficiency by improving work processes, access to information, internal and external communication, and expedite decision making thereby leading to prompt public service delivery, efficiency gains and cost savings (Asgarkhani, 2005: 469).

Question 43C asked respondents to indicate whether the information and communications technology infrastructure used by the Ministry of Foreign Affairs and International Co-operation was favourable to the implementation of the performance management system. 28 (57.1%) of the respondents indicated that the information and communications technology infrastructure used by the Ministry was unfavourable to the implementation of the performance

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<sup>52</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2011/2012 on 17 March 2011a: 3.

<sup>53</sup> Republic of Botswana, Statement to the Committee of Supply by the Hon. Mr. Phandu T.C. Skelemani, Minister of Foreign Affairs and International Co-operation Presenting the Ministry's Budget Estimates for the Financial Year 2011/2012 on 17 March 2011a: 4.

management system, while 21 (42.9%) stated that the information and communications technology infrastructure was favourable.

The majority of the respondents who stated that the information and communications technology infrastructure was inadequate cited old information and technology infrastructure; poor connectivity to the government portal; slow Internet access and low bandwidth which slow down communication between the Ministry headquarters and Botswana diplomatic missions abroad. Information and communications technology infrastructure is poor, hence the Ministry uses manual management systems instead of electronic management systems. This affects e-government which promotes online services, electronic records and communication. Manual systems are prone to human errors because data is captured and analysed manually and this hinders efficient and quick service delivery. Moreover, manual systems are time-consuming, laborious, tedious and expensive because of too much paperwork and courier/postal charges.

More recently, the Ministry of Foreign Affairs and International Co-operation has adopted new information technology systems such as the Border Control System; Immigration and Citizenship System; and Government Accounting and Budgeting System to improve service delivery. In August 2011, the Border Control System, which issues machine readable electronic passports, was rolled out to Botswana diplomatic missions abroad to allow Botswana nationals living or studying outside the country to apply for electronic passports to replace old manual passports that were phased out by 31 December 2011. Another computerised system known as the Immigration and Citizenship System, which issues machine readable electronic visas, residence and work permits, was rolled out to Botswana diplomatic missions abroad in 2011. The roll out of the Border Control System and the Immigration and Citizenship System was slow because of lack of

Government Data Network connectivity and low bandwidth (Republic of Botswana, State of the Nation Address, 2011b: 41).

The two systems have been installed in 19 out of the 21 Botswana diplomatic missions abroad. The two systems have not yet been installed at the Botswana diplomatic missions in Brasilia, Brazil, and Maputo, Mozambique. Botswana diplomatic missions in Windhoek, Namibia; Pretoria, South Africa; Lusaka, Zambia; and Harare, Zimbabwe are not using these two systems because of network problems or low bandwidth. The optimum operation of these two systems is constrained by frequent power cuts at the Botswana diplomatic mission in Addis Ababa, Ethiopia. Efforts are underway to install the two systems at the Botswana diplomatic missions in Brasilia, Brazil, and Maputo, Mozambique, and to address the challenges that hinder the efficient operationalisation of these two systems (Republic of Botswana, State of the Nation Address, 2011b: 41).

The Ministry of Foreign Affairs and International Co-operation started rolling out the Government Accounting and Budgeting System to Botswana diplomatic missions abroad during the 2013/2014 financial year. The Government Accounting and Budgeting System was rolled out to the Botswana diplomatic mission in Lusaka, Zambia from 23 September to 5 October 2013. The roll out to the Botswana diplomatic mission in London, United Kingdom was from 14 to 23 October 2013, and the roll out to the Botswana diplomatic mission in Johannesburg, South Africa was from 28 October to 6 November 2013. The Government Accounting and Budgeting System of the Botswana public service replaces the out-dated computerised accounting and budgeting system which was installed in the 1970's. The old computerised accounting and budgeting system used expensive and complex hardware and software, and disallowed required functionalities in the areas of budgeting, revenue, computerised ledgers, cash flow, public debt, and ministerial data entry. Consequently, many

government accounting and budgeting processes were done manually and involved an excessive amount of paperwork (Republic of Botswana, The Report of the Auditor General on the Government Accounting and Budgeting System, 2007b: 5).

The Government Accounting and Budgeting System introduces a new accounting, budgeting and financial information system that automates all the accounting and budgeting processes in government ministries and independent departments; allows for cash based and accrual accounting; budgetary control; common input and enquiry facilities; decentralised data entry by government ministries and independent departments; faster processing of transactions, budget preparation, and accounts closing; improves the reliability, accuracy and timely generation of information on the government's cash position, economic, financial and operational performance; and improves control and monitoring of expenditure and receipts through a proper audit trail of transactions in the system (Republic of Botswana, The Report of the Auditor General on the Government Accounting and Budgeting System, 2007b: 5).

## **7.7 CONCLUSION**

This chapter analysed and interpreted the data that was collected to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. The primary data was collected from the staff members of the Ministry using self-administered questionnaires and follow-up personal interviews. The primary data was complemented with secondary data that was collected using the literature review and document analysis. There were 90 self-administered questionnaires that were distributed. Out of the 90 questionnaires distributed, 49

were completed and returned, which was a response rate of 54%. There were three follow-up interviews that were conducted.

The findings of this study demonstrate that the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation was a challenge because of unclear and ambiguous foreign policy goals and objectives; lack of broad-based support and critical mass of champions of the performance management system; performance measurement difficulties; inadequate human and institutional capacities; ineffective supporting systems of the performance management system; inadequate information and communications technology infrastructure; and unfavourable international environment.

The final chapter of this study provides an overview of all the chapters. It discusses the realisation of the study aim and objectives, conclusions of each chapter, limitations of the study, recommendations of the study and suggested areas for further research.



## **CHAPTER 8**

### **REALISATION OF THE STUDY AIM AND OBJECTIVES, CONCLUSIONS, LIMITATIONS, MAJOR RESEARCH FINDINGS, RECOMMENDATIONS AND FURTHER RESEARCH AREAS**

#### **8.1 INTRODUCTION**

Chapter 7 analysed and interpreted the research data. Chapter 8 links up all the chapters by assessing whether the study realised its stated aim and objectives as explained in Chapter One (see *supra* 1.4). The chapter further presents a summary of the main conclusions of each chapter; highlights the limitations or shortcomings as well as major findings of the study. Finally, it proposes some recommendations and suggests areas of further research.

#### **8.2 REALISATION OF THE STUDY AIM AND OBJECTIVES**

The primary aim of this study was to investigate how the performance management system was implemented in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. In addition to its primary aim, this study sought to contribute to the understanding and knowledge of the performance management system and its implementation through the following seven research objectives:

- Objective 1: Examine the global origins of the concept of performance management, define the concept of performance management, explain the approaches to performance management, nature and content of the performance management system, identify the steps to be followed to develop a performance management system, identify the objectives and

benefits of introducing the performance management system, and identify the general problems encountered in the implementation of the performance management system. This objective was realised through the literature review in Chapter Two.

- Objective 2: Select an analytical framework to be used to analyse the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. This objective was achieved by selecting the model of social programmes as an analytical framework for this study and this framework was discussed in Chapter Three.
- Objective 3: Examine the origins of the performance management system of the Botswana public service. This objective was attained by identifying the factors that led to the introduction of the performance management system of the Botswana public service. This was covered in Chapter Four (see *supra* 4.2).
- Objective 4: Explain the nature and content of the performance management system of the Botswana public service. This objective was addressed in Chapter Five (see *supra* 5.2), which discussed the eight main components of the performance management system of the Botswana public service, namely vision, mission and values; balanced scorecard; line item budgeting system; performance agreement system; performance based reward system; business process re-engineering; performance monitoring systems; and evaluation systems.
- Objective 5: Select the research design and methodology to be used to investigate the research problem. Chapter Six discussed the research design and methodology, population and sampling, designing and administering survey questionnaires, measures used to establish trustworthiness of the study findings and the ethical principles followed to safeguard the rights of respondents.

- Objective 6: Analyse and interpret the research data collected using self-administered questionnaires and follow-up personal interviews. This study used four data collection instruments, namely literature review, document analysis, self-administered questionnaires, and follow-up personal interviews. This was discussed in Chapter Seven.
- Objective 7: Draw main conclusions of the study, propose recommendations to improve the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation, and suggest areas of further research. Chapter Eight concludes the study by discussing the realisation of the study aim and objectives, provides a summary of the main conclusions of each chapter, major research findings, limitations of the study, recommendations and areas of further research.

The chapters of this study are arranged according to the above objectives. A summary of the main conclusions of each chapter is presented below.

### **8.3 CONCLUSIONS**

The main conclusions of each chapter show how each objective of this study was addressed.

#### **8.3.1 General introduction**

Chapter One discusses the methodological approach that was used to investigate the research problem, namely background and rationale, the research problem and research questions, research aim and objectives, scope, conceptualisation of key concepts, a brief overview of the research design and methodology used, editing and referencing, study sequence, and summary of the study.

### **8.3.2 Literature review: Performance management**

Chapter Two deals with the literature review on performance management. It examines the global origins of the concept of performance management, defines the concept, explains the approaches to performance management, nature and content of the performance management system, identifies the steps to be followed in developing a performance management system, identifies the objectives and benefits of introducing the performance management system and the general problems encountered in its implementation.

The origin of the concept performance management is traced back to 1976. It was first used by Beer and Ruh in their study of the performance management system at Corning Glass Works of the United States of America entitled "Employee growth through performance management." However, its historical antecedents go as far back as the Biblical times and the Chinese dynasties of the 221 – 206 BC. Performance management system was widely used in the 1980s and 1990s to respond to the competitive pressures from globalisation and to bring change in the public sector culture and ethos.

In most developing countries, particularly those in Africa and Latin America, the performance management system was introduced as part of the International Monetary Fund and the World Bank-supported stabilisation and structural adjustment programmes. It was introduced in African, Asian and Latin American ministries of foreign affairs around 2000. The United Kingdom was the pioneer of the performance management system in the ministries of foreign affairs in the late 1980s. The ministries of foreign affairs of Australia, France, and New Zealand followed later. The Ministry of Foreign Affairs and International Co-operation of the Botswana public service implemented the performance

management system in 1999, thus making it one of the early adopters of the programme in Africa.

The concept of performance management has no standard definition. It is a multi-dimensional construct that is continuously expanding and evolving. For the purpose of this study, performance management was defined as a strategic, integrated and holistic approach to the management of individuals, teams, and institutional performance. It encompasses a broad array of issues concerned with the measurement, management and improvement of performance. These include objective-setting, performance planning, development of performance standards, performance review and feedback, performance monitoring, communication or reporting of performance results, employee development, and recognition and reward of performance.

There are four main approaches to performance management, namely scientific management, trait-based, behaviour-based, and results-based systems. The performance management system is integrative in nature and has critical components such as the performance appraisal and human resource management systems. The development of the performance management system involves various steps. The first step entails the determination of the institution's mission, strategic goals and objectives. The second step involves the cascading of institutional objectives into departmental and individual objectives. Ideally, the individual, departmental and institutional objectives should be aligned. The third step entails the signing of performance agreements by senior management, and performance and development plans by other staff members below senior management. The fourth step involves the development of a personal and development plan which outlines the actions that the employee will take to develop his or her knowledge and skills, and increase levels of competence. The essence of this is to address the performance and development

needs of the employee. The fifth step entails taking action, that is, work, development and support in order to achieve the planned and agreed results. The sixth step involves continuous monitoring and feedback (continuous monitoring and managing of performance) to support the attainment of institutional objectives. The last step in the performance management process is formal performance review and feedback. If the performance review takes the form of an appraisal session, an overall performance rating will be given. The employee may get a reward or recognition for meeting or exceeding the performance targets.

The study identified the following as the objectives and benefits of the performance management system. Firstly, the performance management system is introduced as an important tool that assists in improving individual and institutional performance and productivity, product or service quality, cost-effectiveness, operational efficiency, customer service, accountability and responsiveness, and to achieve value for money. Secondly, it is introduced to create a performance culture; appraise employee performance; achieve sustainable improvements in individual and institutional performance; to assess performance against set objectives; to align individual and institutional objectives; to improve management of resources; to create a motivated and committed workforce and to bring change in culture and ethos. Thirdly, it promotes evidence-based management, rational decision-making and human resource development.

Fourthly, it provides a results-oriented framework that promotes performance and strategic planning; objective setting; regular performance review; resource allocation; programme management, monitoring, evaluation and reporting; quality service; stakeholder focus; and ownership, responsibility and accountability for results. Fifthly, it promotes ongoing communication and

dialogue between managers and employees on issues relating to performance, quality, review of progress and objectives, and training and development needs. Lastly, the performance management system assists institutions to deal with legal issues or risks of litigation by using valid and reliable instruments of measuring individual employee's performance; documenting job responsibilities, employees' strengths and weaknesses in the performance reviews; corrective administrative action taken to improve unsatisfactory performance; and administrative decisions regarding promotions, salary increases, terminations, demotions and transfers.

The literature review showed that the implementation of the performance management system was problematic and fraught with difficulties and complexities. The literature identified the following as the general problems encountered in the implementation of the performance management system. Firstly, there are human or behavioural factors that affect implementation. Generally, employees are reluctant to implement the performance management system because of the following factors: managers and supervisees are adverse to individual performance appraisal; managers and supervisees often perceive the programme as lacking procedural fairness; employees often lack requisite technical and conceptual knowledge and skills, and training and education required to implement and manage the performance management system; the performance management system is often viewed negatively by employees as a compliance burden; and resistance to change or fear to adopt new ways.

Secondly, there are inherent technical problems that make the implementation difficult. These include the complexities and dynamics of the design and implementation processes; difficulties of assessing performance; devising appropriate performance criteria, rating instrument and good performance indicators; collecting and interpreting performance indicator data; and

communicating performance results. Thirdly, the implementation of the performance management system is often a challenge because institutions often invest inadequate human and financial resources, time and efforts to customise the programme to suit their specific characteristics, needs and contexts. Institutions seldom carry out compatibility or pilot/readiness test before they embark on full-scale implementation of the programme. Implementation often fails because it is hurried.

Fourthly, implementation is often a challenge because it is often based on best practice rather than best fit to the institutional environment. Fifthly, implementation often encounters problems because of lack of broad-based public, political and administrative support. Sixthly, implementation is often hampered by resource constraints and lack of institutional capacity to implement the performance management system. Seventhly, the implementation of performance management programmes such as the performance management system which were originally developed in advanced industrialised countries are not easily transferable to conditions in developing countries such as those in Africa and Latin America. Eighthly, implementation is often hampered by lack of clearly stated and understood institutional vision, mission, strategy and objectives. Ninthly, implementation is often difficult in institutions where there is no link between performance and the recognition and reward systems. Lastly, implementation is often affected by frequent change of management.

### **8.3.3 Analytical framework for the implementation of the performance management system**

Chapter Three defines an analytical framework, identifies the purposes of an analytical framework in a study and provides justification for choosing the model of social programmes as an analytical framework for this study. An analytical



framework was defined as an orientation or general way of looking at the phenomenon under consideration. It serves many purposes in a study. First, an analytical framework assists to answer research questions. Though the literature review may answer some of these research questions, it is often inadequate and hence the use of the analytical framework in research. Second, it assists a researcher to better understand and analyse the research problem.

Third, an analytical framework enables the researcher to carry out a systematic and rigorous investigation of the research problem by identifying concepts and theories that are pertinent to describe and explain the studied phenomenon. Fourth, it assists to structure or organise the study in a logical manner. It provides the logical basis for empirical testing, data analysis, interpretation, and drawing conclusions. Finally, it compels the researcher to be focused and clear in the definition of concepts and articulation of arguments.

The model of social programmes, which is used as the analytical framework for this study, looks at implementation in terms of the eight main dimensions of social intervention programmes. The eight dimensions are clearly defined programme goals and objectives; an intended target group; explicit outcome measures; programme components; programme infrastructure; human resource base; programme stakeholders; and programme context.

The model of social programmes was selected because of the following reasons. Firstly, it provides a holistic and comprehensive frame of reference for understanding and evaluating the implementation of any social intervention programme, in this case, the performance management system. The model of social programmes is well grounded in the literature as it provides robust theoretical and practical explanations why the implementation of social intervention programmes is problematic and complex. Secondly, it is a multi-

dimensional analytical framework that provides eight dimensions that affect the successful implementation of any social intervention programme, including the performance management system. The eight dimensions of the model of social programmes assist to deepen understanding of the different aspects that might affect implementation of any social intervention programme.

Compared to the model of social programmes, the performance management model proposed by Bento and White (2006: 53) was found to be limited as it only looks at three elements of performance management, namely budgeting, performance evaluation and rewarding performance. Similarly, the model proposed by Hacker and Washington (2004: 53) to measure large-scale organisational change was also found to be limited as it covers only six dimensions that are adequately covered by the model of social programmes. The six dimensions are: (1) well defined result areas and goals; (2) well defined objectives; (3) well defined measurement processes; (4) well established reviews; (5) well defined responsibilities; and (6) evidence of continuous improvement.

Compared to the other models, the model of social programmes covers many dimensions of programme implementation which makes it comprehensive and thereby giving it more predictive, explanatory and analytical power. It adequately captures the multi-dimensional nature of the performance management system. Although other models have their limitations of focusing on few dimensions, they complement and enrich the model of social programmes. Third, it is an integrated analytical framework that can be combined with other theoretical models. In a nutshell, the model of social programmes can be viewed as a synthesis of several analytical frameworks. Other theoretical models that have been blended with the model include programme implementation, organisation, employee motivation, and institutional theories. Thus, the model of social

programmes draws on the strengths of various theoretical models cutting across different disciplines.

#### **8.3.4 Origins of the performance management system of the Botswana public service**

Chapter Four identifies the factors that led to the introduction of the performance management system of the Botswana public service. It also discusses four innovations that were introduced in 1999 to improve the performance of the Botswana public service. The study showed that the performance management system was introduced to address the problematic areas of performance of the Botswana public service; the shortcomings of the previous performance improvement programmes and to respond to the new realities and emerging challenges of the twenty-first century. The problematic areas of performance of the Botswana public service centred on matters such as weak implementation capacity; poor work ethic; low labour productivity; bureaucratic dominance; and corruption and mismanagement.

The performance management system of the Botswana public service was also introduced to address some of the shortcomings of previous performance improvement programmes such as national development plans; financial and manpower ceilings for government ministries and independent departments; the job evaluation exercise; organisation and methods reviews; parallel progression; and work improvement teams. The first limitation of the previous performance improvement programmes was that they were fragmented or stand-alone one-shot efforts, which were not system-wide.

The second limitation of the previous performance improvement programmes was that they were not systematic and comprehensive to make maximum

performance impact or enable the Botswana public service to perform at higher levels of productivity and service delivery. Lastly, previous performance improvement programmes dealt mainly with administrative and structural matters such as financial and human resources management, and institutional operations or processes, mandates and structures. Thus, they ignored other equally important matters of socio-economic development such as promoting and sustaining national growth and development, and improving the living standards of the population.

The performance management system of the Botswana public service was also introduced to respond to the new realities and emerging challenges of the twenty-first century. It was introduced first and foremost as an important tool to facilitate the process of national development, in particular the achievement of the development aspirations of Botswana as articulated in the national vision (Vision 2016), which set out a long term vision for the country. The performance management system aligns the national vision and the national development plans. Second, it was introduced to lead the change process and to restore public confidence and trust in the Botswana government and the Botswana public service.

Third, the performance management system was introduced to address the new demands and challenges of the twenty-first century. These included, among others, the need to continuously improve the performance of the Botswana public service to enable it to deliver high quality services that meet higher demands and expectations of customers as well as international standards; to make the Botswana public service more competitive, innovative, creative, effective and efficient; to promote public accountability, transparency and good governance; to promote sustainable economic growth and improve living standards; to promote the development of the private sector; and to transform

the mindset of the public servants through the introduction of a customer-centric strategy, a performance-oriented culture and a hard work ethic.

Fourth, the performance management system of the Botswana public service was introduced to respond proactively to the challenges posed by the advent of globalisation and the advances in information and communication technologies. Fifth, the introduction of the performance management system in the Botswana public service, as elsewhere in developing countries, was influenced by the public service reforms that were undertaken by the Organisation for Economic Co-operation and Development (OECD) member countries, especially Australia, Canada, New Zealand, Sweden, the United Kingdom and the United States of America. Apart from these OECD member countries, other countries such as Malaysia and Singapore influenced the adoption of the performance management system in the Botswana public service. Finally, as from 2000 onwards, the performance management system has been used as an important instrument to achieve the United Nations' Millennium Development Goals.

The performance management system was one of the innovations that were introduced in 1999 to provide a comprehensive, coherent, integrated and sustainable approach to Botswana public service reforms. The other innovations were decentralisation, computerised personnel management system, and human resource development. Out of the four, the performance management system is the principal innovation and the other three are meant to support and complement it.

### **8.3.5 Nature and content of the performance management system of the Botswana public service**

Chapter Five explains the nature and content of the performance management system of the Botswana public service. It discusses the integrative nature of the performance management system as well as the eight main components of the performance management system of the Botswana public service. These are vision, mission and values; balanced scorecard; line item budgeting system; performance agreement system; performance based reward system; business process re-engineering; performance monitoring systems; and evaluation systems.

The vision, mission and values are considered as key components of the performance management system. A vision is defined as a desired future state of the institution. A mission is defined as the primary purpose of the institution, its *raison d'être* or justification for its existence while values are everlasting and inviolate principles that guide an institution. The vision, mission and value statements are a *sine qua non* for any effective institution because they are the building blocks for strategy, inspire employees and stakeholders, guide decisions, and align efforts of every employee. The performance management system aligns the institutional vision, mission, values and strategy with departmental, division and individual goals, objectives and targets.

The balanced scorecard is the second critical component of the performance management system of the Botswana public service. In 2005, the Botswana public service introduced the balanced scorecard as a tool to provide focus and alignment to strategic planning, to close the gaps between strategy formulation and implementation and performance measurement and management and for performance reporting. The Botswana public service uses the balanced scorecard

to translate strategic plans into strategy maps, and performance objectives and measures for the four perspectives of financial, customer, internal process, and learning and growth.

The third component of the performance management system of the Botswana public service is line item budgeting system that has separate appropriation or budget lines for items such as salaries, travel, and office supplies. To address the problems of line item budgeting, the Botswana public service introduced the integrated results based management approach into the national development planning process during the tenth national development plan which runs from 1 April 2009 to 31 March 2016 to emphasise achievement of agreed results or outcomes, value addition and impact. The integrated results based management approach was introduced to strengthen linkages between strategic planning, budgeting, personnel performance, monitoring and evaluation, management information, and electronic government support systems.

The fourth and fifth components of the performance management system of the Botswana public service are the two systems of performance appraisal, namely the performance agreement and the performance based reward systems that were introduced on 1 April 2004. The performance agreement system is meant for executive officers (Permanent Secretaries, Deputy Permanent Secretaries, and Directors); while the performance based reward system is used for non-executive officers (all officers below the position of Director). Performance appraisal systems are considered as prerequisites and critical components of any effective performance management system.

The sixth component of the performance management system of the Botswana public service is business process re-engineering. Business process re-engineering is concerned with developing more efficient work processes or

operations by eliminating non value-adding activities. In March 2006, the Botswana public service introduced business process re-engineering to improve public service delivery by making government business processes more customer-focused rather than internally focused; removing unnecessary processes and operational bottlenecks; setting customer service standards; and using information and communication technologies in the delivery of public services. It was introduced out of the realisation that inefficient work processes were an impediment to public service delivery.

Lastly, performance monitoring and evaluation systems are core components of the performance management system of the Botswana public service. Performance monitoring systems are used to provide policy-relevant knowledge about the implementation and consequences of the adopted social intervention programme and thereby assist policy-makers in the implementation stage to determine whether implementation is according to plan, identify implementation challenges and unintended consequences and suggest corrective measures. The Botswana public service uses performance logs, checkpoint meetings, performance reviews, Cabinet retreats, annual public service conventions, and customer feedback systems to monitor performance.

The Botswana public service conducted two evaluations of the implementation of the performance management system. The first evaluation which was conducted after two and half years into the implementation of the performance management system was undertaken by the auditing firm, Ernst & Young, in 2002. This was a mid-term evaluation which found that the implementation of the performance management system was generally well on course. The second evaluation was undertaken in late 2004. This was a terminal evaluation which covered the conceptualisation, design, installation and implementation phases of the performance management system as well as its relevance, efficiency and



effectiveness. The terminal evaluation concluded that the implementation of the performance management system in the Botswana public service had reached a critical phase, was at crossroads and stage of maturation.

#### **8.3.6 Research design and methodology**

In Chapter Six, a mixture of both qualitative research design and quantitative research design was used to investigate the research problem. Research data was obtained using triangulation of research methods (case study, evaluation research, and survey method) and triangulation of data sources (literature review, document analysis, self-administered questionnaires, and follow-up personal interview). A sample of 90 respondents was selected using purposive sampling. This study used the four modified criteria developed by Y.S. Lincoln and E.G. Guba (1985) to ensure trustworthiness of the study findings of qualitative research. The four criteria used were credibility, transferability, dependability, and confirmability. The following ethical principles were taken into consideration to safeguard the rights of respondents: disclosure, voluntary participation and harmlessness to respondents, confidentiality, and professionalism.

#### **8.3.7 Analysis and interpretation of research data collected by questionnaires and follow-up personal interviews**

The primary data that was collected using self-administered questionnaires and follow-up personal interviews was analysed and interpreted. Data analysis involved three steps, namely data reduction, data display and verification. The data collected from self-administered questionnaires and follow-up personal interviews was compared with data collected through the literature review and document analysis.

Comparisons were made with Botswana government official records such as sectoral chapters on the Ministry of Foreign Affairs and International Co-operation in national development plans and mid-term reviews of national development plans; organisation and methods review reports; consultancy studies; budget vote speeches or statements to the Botswana Parliament by the Minister of Foreign Affairs and International Co-operation; and the Ministry's quarterly newsletter. The research data was analysed manually using a calculator to obtain simple statistical analyses (numbers and percentages). Simple descriptive statistical analyses were used for data analysis and interpretation.

The major findings of the study are discussed below.

#### **8.3.7.1 Summary of research findings**

The main findings of this study are presented in terms of the eight dimensions of the model of social programmes, which was used as an analytical framework: (1) programme goals and objectives; (2) target group; (3) outcome measures; (4) programme components; (5) programme infrastructure; (6) human resource base; (7) programme stakeholders; and (8) programme context.

##### **8.3.7.1.1 Dimension 1: Programme goals and objectives**

The main findings relating to programme goals and objectives were the following:

1. The mandate of the Ministry of Foreign Affairs and International Co-operation of the Botswana public service is broad or government-wide. The Ministry does agency work for other government ministries and independent departments when dealing with the outside world. It has no sectoral mandate of its own because its mandate covers all functions of

government such as agriculture, education, health, water, transport, trade and industry, economic, social, political, defence and security.

2. The Ministry of Foreign Affairs and International Co-operation has multiple objectives that cover a broad range of national, regional, continental and international objectives. The objectives of the Ministry are derived from the tenth national development plan, Vision 2016, President's initiatives, Millennium Development Goals, and regional, continental and international agreements.
3. Implementation of the objectives of the Ministry of Foreign Affairs and International Co-operation lies with other government ministries and independent departments because the Ministry has cross-sectoral or cross-cutting facilitative, co-ordinative and representational responsibilities.
4. The Ministry of Foreign Affairs and International Co-operation has unclear and ambiguous foreign policy goals and objectives. Foreign policy goals and objectives such as promotion of democracy, human rights, and good governance are constantly evolving and difficult to quantify.
5. The strategic planning process in the Ministry of Foreign Affairs and International Co-operation is done in the wrong order. Botswana diplomatic missions abroad formulate their strategic plans and annual performance plans before those of the Ministry headquarters are produced.
6. The Ministry's objectives are formulated without consultation of the relevant government ministries and independent departments as well as Botswana diplomatic missions abroad. As a result, it becomes difficult for other government ministries and independent departments to fit the objectives of the Ministry of Foreign Affairs and International Co-operation into their strategic plans, annual performance plans and budgets. Similarly, Botswana diplomatic missions abroad formulate their own

- objectives without consulting each other and the relevant government ministries and independent departments. Consequently, it becomes difficult to align the strategic plan and annual performance plan of the Ministry headquarters with those of Botswana diplomatic missions abroad and other government ministries and independent departments.
7. Some of the objectives of the Ministry, departments and Botswana diplomatic missions abroad lack performance targets, measures, outputs and outcomes.
  8. Strategic plans and annual performance plans of the Botswana diplomatic missions abroad are not evaluated to determine whether they are aligned with the Ministry and Departments' strategic plans and annual performance plans as well as national development plan objectives and vision 2016 goals. As a result, there is often poor translation of national development plan objectives and vision 2016 goals into ministerial, departmental and mission strategic plans and annual performance plans.
  9. It is generally difficult to define and measure the work of the Ministry of Foreign Affairs and International Co-operation because it deals with intangibles such as management of relations with foreign countries and international organisations, problem solving, promoting national interests abroad, and providing policy advice. The outputs and outcomes of the Ministry are mostly intangible or immeasurable because the Ministry plays a facilitative, co-ordinative and representational role.
  10. Performance measures of diplomatic work require a longer time horizon than the conventional annual performance plan and six-year strategic plan. Proxy measures which are indirect and subjective such as the number of tourists and foreign direct investment attracted are used to evaluate the Ministry of Foreign Affairs and International Co-operation.
  11. The Ministry of Foreign Affairs and International Co-operation and Botswana diplomatic missions abroad have vision, mission and value

statements, strategic plans, annual performance plans, performance agreements, and performance and development plans. The formulation of vision, mission and values statements, strategic plans, annual performance plans, performance agreements, and performance and development plans is often constrained by weak strategic planning.

12. Inadequate time is allocated for the formulation of vision, mission and value statements, strategic plans, annual performance plans, performance agreements, and performance and development plans. The strategic plans and annual performance plans of the Ministry and Botswana diplomatic missions abroad lack detailed supporting implementation plans and strategies. The strategic and operational objectives that are formulated tend to be of low quality, activity-based, misaligned with institutional strategy and focused on programmes and initiatives that are being implemented rather than customer driven and focused on desired performance outputs and outcomes.

The literature indicated that individual, departmental and institutional objectives of government ministries and independent departments were often misaligned with strategic plans, annual performance plans, national development plans and Vision 2016.

#### **8.3.7.1.2 Dimension 2: Target group**

The main findings relating to the target group were the following:

1. The implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation targeted all categories of staff, that is, professional, technical, administrative (clerical) and support (operational).

2. The performance management system was implemented in four phases, namely conceptualisation, design, installation, and implementation. The first three phases were carried out by the Botswana National Productivity Centre (lead consultants), Directorate of Public Service Management (contracting agency), and Public Service Reforms Unit (technical consultants for the Botswana public service). The staff members of the Ministry of Foreign Affairs and International Co-operation were involved during the implementation phase.
3. The target group was consulted through staff meetings, performance management workshops and seminars, retreats, strategy development and review meetings.
4. The target group was provided with written and oral briefings prior to the implementation of the performance management system in the Ministry.
5. Inadequate performance management training was provided to the staff members of the Ministry, especially in the following areas: performance planning; goal or objective setting; performance measurement and reporting; preparing for performance appraisal interviews; conducting effective performance appraisal interviews; preparing performance and development plans; supervisory and people management skills; communication and interpersonal skills; conflict resolution; mentoring, coaching, and counseling.
6. Performance management training was skewed towards senior management because the implementation of the performance management system in the Botswana public service was leadership-driven.
7. The Ministry of Foreign Affairs and International Co-operation rarely provides retraining or refresher courses on performance management. It relies heavily on on-the-job-training.

8. The performance management system was implemented in the Ministry using cascading or top-down approach.
9. The implementation of the performance management system in the Ministry was unenthusiastically embraced by the target group because there was a widespread feeling that the programme was imposed and ill-suited to the Ministry. Generally, the implementation of the performance management system in the ministries of foreign affairs is viewed negatively.

According to the literature, new versions of the performance management system target all categories of staff. The performance management system is implemented in most institutions using cascading or top-down approach. Implementation of the performance management system is often unenthusiastically embraced by staff members. The performance management system is often implemented without identifying the training and development needs of the staff members. Lastly, the implementation of the performance management system in the public service is often externally imposed upon staff members by international development agencies or international financial institutions or mandated by government policy or legislation rather than self-initiated. The reasons for implementing the programme are often poorly understood by staff members.

#### **8.3.7.1.3 Dimension 3: Outcome measures**

The key findings of this study relating to outcome measures were the following:

1. The Ministry of Foreign Affairs and International Co-operation uses the generic balanced scorecard, which is used by the entire Botswana public service as a performance measurement system.

2. The balanced scorecard was introduced in the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation in 2005. It is still a relatively new management tool in the Botswana public service. The balanced scorecard was not adapted to suit the Ministry's specific context. The training provided on the balanced scorecard was inadequate. As a result, it is complex and technical to use in the Ministry.
3. The Ministry of Foreign Affairs and International Co-operation encountered challenges to translate programme goals and objectives into measurable outputs and outcomes because it has no direct responsibility for implementation of development projects and programmes, but has cross-sectoral or cross-cutting facilitative, co-ordinative, and representational responsibilities. Consequently, most of the Ministry's objectives lack appropriate performance measures. Due to the difficulties in developing precise measures of individual and institutional performance, the Ministry and its staff are evaluated indirectly and subjectively using proxy measures.

The literature showed that most institutions face challenges to develop appropriate performance measures because of lack of skills and capacity to collect, analyse, interpret and communicate performance data, and technical measurement challenges. The literature further indicated that the implementation of the performance management system often fails because of lack of measurable outputs and outcomes, and lack of customisation of performance measurement systems such as the balanced scorecard.

#### **8.3.7.1.4 Dimension 4: Programme components**

The major findings relating to programme components were the following:



1. The implementation of the performance management system in the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation had a five-year implementation plan which began in July 1999 and ended on 31 March 2004.
2. Although a five-year implementation plan is generally considered as adequate, the implementation of the performance management system in the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation was rushed during the 2003/2004 financial year to comply with the presidential directive deadline of 31 March 2004.
3. As a result of the rushed implementation, government ministries and independent departments had inadequate time to teach, assimilate and internalise performance management system concepts.
4. The timing of the implementation of the performance management system was unfavourable because it coincided with the computerisation of the Ministry headquarters and implementation of the Computerised Missions Accounting System at the Botswana diplomatic missions abroad during the period of 1997 to 2000/2001, and organisational reviews and restructuring of the Ministry in 1998/99, 2007 and 2009. Management time, effort and attention were distracted by these exercises.
5. In addition, implementation of the performance management system coincided with the after-effects of the Asian economic and financial crises of 1998, the *El Nino* weather phenomenon, the year 2000 computer problem or millennium bug, and national development challenges of unemployment, poverty, and HIV/AIDS pandemic. During the effective year of the implementation of the performance management system (1998/1999), the Botswana government had a budget deficit of 1, 278 million pula for the first time in sixteen years. Due to these competing national priorities, the funding allocated for the implementation of the performance management system was inadequate.

6. Initially, the Office of the Ministry Performance Improvement Co-ordinator of the Ministry of Foreign Affairs and International Co-operation had only one officer. This was inadequate to service the Ministry headquarters and Botswana diplomatic missions abroad.
7. Due to inadequate staffing, the Ministry of Foreign Affairs and International Co-operation lacked staff with skills and knowledge to execute its mandate in critical fields such as diplomacy; information technology; international trade, investment and tourism; negotiations; and conflict prevention, management and resolution. As a result of shortage of staff with proficiency in foreign languages, the Ministry relied on foreign language consultants to produce promotional material on trade, investment and tourism.
8. Generally, the financial, human and material resources provided for the implementation of the performance management system in the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation were inadequate.
9. The implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation was affected by high staff turnover, especially at the position of Permanent Secretary.

The literature revealed that implementation of the performance management system requires concerted efforts, commitment, strong leadership and considerable time and resources. However, institutions often start the implementation of the performance management system with insufficient resources (budget) and capacity (human resources).

#### **8.3.7.1.5 Dimension 5: Programme infrastructure**

The key findings relating to programme infrastructure were the following:

1. Poor implementation and use of systems that support the implementation of the performance management system through the use of cascading approach which created problems of lack of ownership, legitimacy, buy-in, approval, support and commitment and using these systems as additional tools of command and control.
2. The Ministry of Foreign Affairs and International Co-operation has ineffective systems to support the implementation of the performance management system. There are weak accountability and responsibility mechanisms because of inadequate appointment and promotion system; irregular training and induction of newly appointed officers; outdated job descriptions; handing over notes that are not mandatory; performance appraisal systems that are ill-suited to the Ministry; ineffective monitoring and evaluation systems; recognition and reward systems that lack both financial and non-financial rewards as well as transparency; and ineffective communication/information system. The performance contracts system and performance reporting systems are still at infancy stage.
3. The Ministry of Foreign Affairs and International Co-operation lacks heads of mission instructions; performance based budgeting system; equity and grievance redress systems; and a written foreign policy document to support the implementation of the performance management system. The integrated results based budgeting system or zero-based budgeting system will be implemented during the 2014/2015 financial year to phase out line item budgeting which is based on historic expenditure trend.
4. There are well crafted government policies, programmes and strategies to promote foreign direct investment, trade and tourism.
5. The performance management system was implemented on a full-scale in the Ministry of Foreign Affairs and International Co-operation without first piloting. The Ministry had no implementation plan for the performance management system.

6. Baseline data was collected in few areas such as the number of agreements, treaties and conventions signed and the number of countries with established diplomatic relations with Botswana.

A review of the literature indicated that the supporting systems of the performance management system were often implemented using cascading approach. They were often designed for external performance reporting rather than for internal management needs and internal decision making. The supporting systems were often weak, misaligned and incompatible because they were designed separately as parallel systems.

#### **8.3.7.1.6 Dimension 6: Human resource base**

The major findings relating to the human resource base were the following:

1. The performance management system was implemented without personnel with the requisite skills, knowledge and expertise of the performance management system approaches, systems, techniques and practices.
2. The Ministry of Foreign Affairs and International Co-operation has a Ministry Performance Improvement Co-ordinator, Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators to co-ordinate and oversee the implementation of the performance management system in the Ministry, departments and Botswana diplomatic missions abroad, respectively.
3. The Ministry headquarters and Botswana diplomatic missions abroad use a mixed system to appoint Performance Improvement Co-ordinators. The Ministry Performance Improvement Co-ordinator is appointed based on merit, while Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators are appointed based on

- either seniority (position) or volunteerism (enthusiasm for the performance management system).
4. The Ministry headquarters and Botswana diplomatic missions abroad face a shortage of well-trained and skilled Performance Improvement Co-ordinators to implement and manage the performance management system. The Ministry headquarters and Botswana diplomatic missions abroad have no dedicated Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators. The Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators perform performance management system functions in addition to their normal jobs.
  5. The Ministry of Foreign Affairs and International Co-operation lacks noticeable champions of the performance management system.
  6. The Ministry has an ineffective Ministerial Performance Improvement Committee and ineffective Departmental Performance Improvement Committees.
  7. Generally, there is wholehearted high-level political and administrative leadership support and commitment to implement the performance management system in the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation.
  8. Political stability, continuity and unwavering support and commitment from the political leadership of Botswana has ensured that the implementation of the performance management system in the Botswana public service does not lose momentum or regress.
  9. The existence of public service institutions such as the Office of the Permanent Secretary to the President, Directorate of Public Service Management, Public Service Reforms Unit, and the National Strategy Office assisted to build human and institutional capacities to implement

the performance management system in the Ministry of Foreign Affairs and International Co-operation.

10. Other institutions that assisted the Ministry to build human and institutional capacities include the Botswana National Productivity Centre, Botswana Public Service College, Institute of Development Management, and the University of Botswana.

According to the literature, performance management system facilitators or co-ordinators should be appointed to oversee the development and implementation of the performance management system, and to assist maintain and sustain momentum to implement the programme. Strong and credible champions of the performance management system are required at the highest political and administrative levels.

#### **8.3.7.1.7 Dimension 7: Programme stakeholders**

The main findings relating to programme stakeholders were the following:

1. The key stakeholders such as the staff members of the Ministry of Foreign Affairs and International Co-operation, trade unions and staff associations, political leaders and the general public were consulted when the performance management system was implemented in the Botswana public service.
2. Various forums were used to consult the key stakeholders. Staff members of the Ministry were consulted through staff meetings, performance management workshops and seminars, retreats, and strategy development and review meetings.
3. Trade unions and staff associations were consulted through the National Joint Industrial Co-ordinating Committee, which was the then consultative forum between public service trade unions and the employer.

4. Political leaders were consulted through workshops and seminars that were organised specifically for Botswana Cabinet and members of Parliament to brief them on the performance management system and its benefits. Cabinet ministers also receive regular briefs on the implementation of the performance management system through the Economic Committee of Cabinet, and annual retreats for Botswana Cabinet. The Economic Committee of Cabinet consists of all Cabinet ministers and is chaired by the President of Botswana. All Permanent Secretaries attend the meetings of the Economic Committee of Cabinet.
5. The general public was consulted through radio phone-in programmes such as "Talking Heads" and "*Tokafatso Maduo*" (which literally means improving performance results), and through public events such as *kgotla* (public) meetings, press conferences, media interviews and commemorative events such as Productivity Week, Vision Awareness Month, Public Service Day, African Union Day, Commonwealth Day and United Nations Day. The Minister and the Ministry top management used these forums to update the public on the efforts that the Ministry was making to improve public service delivery, including the status of implementation of the performance management system.
6. The decision to implement the performance management system in the Botswana public service was approved by the Botswana Cabinet in February 1999.
7. The performance management system of the Botswana public service was launched to the nation by the then President of Botswana, F.G. Mogae.
8. The Botswana Parliament approved the performance management system budget, which enabled implementation of the programme in the Botswana public service.
9. Trade unions and staff associations supported the implementation of the performance agreement system and the performance based reward

system because they believed the two systems would remove subjectivity in staff performance evaluations, and allow for joint establishment and agreement of performance targets, and link pay with performance.

The literature review showed that the Botswana public service, including the Ministry of Foreign Affairs and International Co-operation used various forums to secure broad-based support from key stakeholders such as staff members, trade unions and staff associations, political leaders, and the general public. The implementation of the performance management system often fails because of lack of consultation and buy-in from key stakeholders.

#### **8.3.7.1.8 Dimension 8: Programme context**

The key findings relating to the programme context were the following:

1. The Ministry of Foreign Affairs and International Co-operation uses the strengths, weaknesses, opportunities and threats (SWOT) analysis as an analytical tool for environmental scanning. The complexity of the SWOT analysis is underestimated in the Ministry of Foreign Affairs and International Co-operation.
2. The environmental scanning capabilities of the Ministry of Foreign Affairs and International Co-operation are generally weak and reactive.
3. The Ministry of Foreign Affairs and International Co-operation has an inadequate institutional structure, which affects effective delivery of its mandate.
4. The culture of performance management is new in the Ministry of Foreign Affairs and International Co-operation and still has to be instilled. The historic public service culture that emphasises experience, equality and qualifications is still entrenched. The bureaucratic model of public administration that emphasises scrupulously following of regulations and



- procedures is generally preferred by public service managers and employees. The command-and-control management model is still widely used.
5. Management authority is centralised for functions relating to finances, procurement and supplies, legal, human resources, project planning, information technology, and buildings and maintenance services. Managers often require prior authorisation from the Ministry headquarters and central authorities and technical implementing departments such as the Ministry of Finance and Development Planning, Accountant General, Public Procurement and Asset Disposal Board, Directorate of Public Service Management, Attorney General's Chambers, Department of Information Technology, and Department of Buildings and Engineering Services to perform the above-mentioned functions.
  6. Centralised management authority affects service delivery and operational efficiency and effectiveness through delayed decision-making and action.
  7. In some of the countries that Botswana has resident diplomatic missions, there are rigid, complex and lengthy procedures for construction and renovation of properties that require full compliance with city codes and relevant ordinances.
  8. The Ministry of Foreign Affairs and International Co-operation lacks a learning and measurement culture. Due to the sensitivity of the responsibilities of the Ministry, a risk-taking culture is avoided. The use of line item budgeting system also discourages the development of a risk-taking culture.
  9. The Ministry of Foreign Affairs and International Co-operation and Botswana diplomatic missions abroad operate in an international environment that is characterised by competition, risk, volatility, uncertainty, complexity and ambiguity which militates against the successful implementation of the performance management system. Such

- an environment often undermines the Ministry's efforts to mobilise development and technical assistance, and attraction of foreign direct investment.
10. The political and administrative system of Botswana is considered compatible with the implementation of the performance management system because of its Anglo-Saxon administrative tradition, majoritarian parliamentary system, the existence of a dominant political party and a strong developmental state with effective public administration institutions, including a professional public service.
  11. The Ministry of Foreign Affairs and International Co-operation has inadequate information and communications technology infrastructure to support online services, electronic records and communication. The Ministry still relies on manual management systems for processing accounts of Botswana diplomatic missions abroad.
  12. In the recent years, the Ministry of Foreign Affairs and International Co-operation has adopted new information technology systems such as the Border Control System; Immigration and Citizenship System; and Government Accounting and Budgeting System to improve service delivery. The Border Control System and the Immigration and Citizenship System were introduced in the Botswana diplomatic missions abroad in August 2011. The Border Control System issues machine readable electronic passports, while the Immigration and Citizenship System issues machine readable electronic visas, residence and work permits. During the 2013/2014 financial year, the Ministry rolled out the Government Accounting and Budgeting System to three Botswana diplomatic missions located in Johannesburg, South Africa; London, United Kingdom; and Lusaka, Zambia. The Government Accounting and Budgeting System replaces the out-dated computerised accounting and budgeting system that was installed in the 1970s.

The literature showed that comparatively, the implementation of the performance management system has fared better in countries of the Anglo-Saxon administrative tradition than those of "*Rechtsstaat*" administrative traditions; in majoritarian party systems than in consensualist systems; in countries which had long tenures of right-wing governments that embraced the basic New Public Management doctrines; in countries where there is clear separation of careers between politicians and senior civil servants; in countries with cultures that score lower on uncertainty avoidance and higher on individualism than in countries that score higher on uncertainty avoidance and higher on collectivism; and in countries with established traditions of administrative reforms and strong and stable public administration systems.

According to the literature, Botswana, Mauritius, Namibia and South Africa have supportive political and administrative systems with strong dominant political parties that are committed to the implementation of the performance management system and have effective public administration institutions, including professional public services.

Based on the foregoing analyses, the main conclusion of this study is that the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation was a challenge. There are some challenges and constraints that the Ministry has to overcome to put the implementation of the performance management system on the right track.

Despite the resource constraints, competing national priorities, national development challenges and the gloomy international environment, the Botswana government made numerous concerted efforts to ensure that the implementation of the performance management system in the Botswana public service was a success. First, the Botswana government created necessary

institutions to support the implementation of the performance management system in the Botswana public service such as the Botswana National Productivity Centre, Botswana Institute for Development Policy Analysis, and Public Service Reforms Unit to provide performance management technical support to government ministries and independent departments.

Second, the Botswana government engaged local and external management consultants such as those from the Botswana National Productivity Centre, University of Botswana, Institute of Development Management Consortium, Palladium Consulting, *Pinagare* Consulting, Academy for Educational Development, World Bank, and The Performance Centre to assist government ministries and independent departments to implement the performance management system and to build practical experience of local management consultants as well as capacity of the government ministries and independent departments. Third, the Botswana government introduced a number of performance improvement programmes such as work improvement teams, performance management system, decentralisation, computerised personnel management system, and human resource development to improve the performance of the Botswana public service.

The next section discusses the limitations of this study.

#### **8.4 LIMITATIONS OF THE STUDY**

Each study has limitations associated with the research methods and strategies used. The respondents for this study were chosen using purposive sampling to ensure that all the three levels of management, namely junior, middle and senior management were equally represented. The response rates for junior management and senior management were lower at 42.9% compared to 81%

for middle management. The low response rates from junior management and senior management affected the representativeness of the sample and limited the amount of survey data collected from these two groups. Despite this limitation, the response rates of 42.9% were above the 15 to 20% which is common in a mail survey, even after two or three reminders (Bhattacharjee, 2012: 81).

Like other studies that use the case study, evaluation research and survey methods, this study was susceptible to the following biases: social desirability bias, non-response bias, sampling bias, recall bias (memory decay), interview saturation, omniscience syndrome and acquiescence response set. According to Babbie and Mouton (2001: 349), social desirability bias occurs when respondents provide "the interviewer [researcher] with responses that they believe are desirable or expected by the interviewer." For example, the researcher suspects that some respondents may have felt psychologically unsafe to divulge to an inside-researcher that they view the performance management system as an extra burden management chore. Non-response bias and sampling bias could have occurred because of the low response rates from junior and senior management and the high response rate from middle management.

Recall bias or memory decay could have occurred because this study was undertaken after 14 years of implementation of the performance management system. Some respondents might not have recalled or remembered what happened in the past 14 years. Possibly due to interview saturation, busy schedules and work pressures, some of the targeted population could not take part in this study. At the time when this study was conducted from April to June 2013, six officials in senior management were interviewed on Radio Botswana programmes: "Around the World Today" and "Foreign Window." Eight (9%) of the target population at the Ministry of Foreign Affairs and International Co-

operation headquarters were unable to complete the questionnaires due to engagements in Public Service Day celebrations. Five (6%) of the target population indicated that they were unable to complete the questionnaires due to tight work schedule.

The omniscience syndrome could have crept in when some respondents answered all the questions posed even when they were unsure of the answers or did not properly understand the questions. According to Mouton (1996: 154), the acquiescence response set occurs when respondents “answer either yes or no to virtually all the items in a questionnaire or scale.” Overall, one (2%) respondent answered yes to all items in question 13, and three (6.1%) respondents answered no to all items in question 13. The researcher used triangulation of research methods (case study, evaluation research, and survey method) and triangulation of data sources (literature review, document analysis, self-administered questionnaires, and follow-up personal interview) to counteract the biases associated with these research methods and data sources.

Based on the discussions in Section 8.3.7.1 above, the next section presents the recommendations of the study.

## **8.5 RECOMMENDATIONS**

This study makes eight recommendations to improve the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation:

### **8.5.1 Set clear and specific foreign policy objectives**

The study recommends that the objectives of the Ministry of Foreign Affairs and International Co-operation should be clearly defined and communicated to all government ministries and independent departments because they are overarching of all Botswana government policies (Republic of Botswana, Organisation and Methods Review Report on Organisational Review of Department of Foreign Affairs, 1994: 32). The study proposes the following measures to improve strategic planning in the Ministry:

1. The Ministry headquarters and the Botswana diplomatic missions abroad should allocate sufficient time for formulation of strategic plans; annual performance plans; performance agreements; and performance and development plans. Ideally, the strategic planning process should be undertaken within a period of six months. It must commence during the month of July when the budget estimates for the next financial year are prepared. This will allow timely submission and implementation of strategic plans; annual performance plans; performance agreements; and performance and development plans at the start of the financial year. It will also ensure integration or alignment of these plans.
2. The strategic planning process should be done following the right order. The Ministry headquarters should lead the formulation of strategic plans and annual performance plans by producing draft plans before Botswana diplomatic missions abroad formulate their own plans. The Ministry and departments' strategic and annual performance plans should be formulated in consultation with the relevant government ministries and independent departments as well as Botswana diplomatic missions abroad. The Ministry headquarters should develop performance targets, outputs and outcomes for each of the Ministry objectives and ensure that Botswana diplomatic missions' abroad strategic plans and annual

- performance plans are aligned with the national development plan objectives and Vision 2016 goals.
3. The Ministry of Foreign Affairs and International Co-operation should prioritise its objectives into short, medium and long-term to avoid the problem of only focusing on short term objectives (short-termism) and losing sight of long term objectives.

#### **8.5.2 Create a critical mass of champions of the performance management system**

The study recommends that the Ministry of Foreign Affairs and International Co-operation should create a critical mass of champions (promoters) of the performance management system among its staff. The following measures are proposed to achieve this:

1. Hold Directors, Ambassadors and High Commissioners accountable for the effective implementation of the performance management system in their departments and Botswana diplomatic missions abroad, respectively (Development Dimensions International and the Society for Human Resource Management, 1994: 74). Directors, Ambassadors and High Commissioners should promote institutional transformation by acting as visionary leaders, master strategists, change agents and managers, relationship and network builders and talent spotters and developers (Hendricks, 2006: 5).
2. Invite Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators to the Annual Heads of Mission Conference so that they get firsthand information on the latest policy changes relating to the performance management system and other government policies in general.



3. Appoint Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators based on merit and demonstrated competence to entrench meritocracy.
4. Train Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators to bolster their confidence and capability to implement and manage the performance management system.
5. Strengthen accountability and responsibility mechanisms to make the implementation of the performance management system the responsibility of all employees rather than of the Ministry Performance Improvement Co-ordinator, Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators only (see *infra* 8.5.5).

### **8.5.3 Strengthen human and institutional capacities**

The study recommends that the Ministry of Foreign Affairs and International Co-operation should adopt the following measures to strengthen human and institutional capacities:

1. Establish a Foreign Service Institute to build the necessary capacities and capabilities of the Ministry cadre. This is in line with national, regional and global trends. Other government ministries and independent departments have training institutes such as the Ministry of Health (Institute of Health Sciences to train Botswana health professionals) and Botswana Defence Force (Defence Command and Staff College to train military professionals). Ministries of foreign affairs of South Africa, Canada, India, Malaysia, and Suriname have Foreign Service Institutes. Accredite the Foreign Service Institute with reputable local and international academic institutions.
2. Make staff training and development a high priority of the Ministry.

3. Undertake gap analyses or training needs analyses, human resource audits, keep work performance records and monitor and evaluate training outcomes to close knowledge and skills gaps of staff (Hendricks, 2006: 14).
4. Use other forms of training as an alternative to in situ training such as e-learning, work assignments and attachments on special projects, shadowing assignments and job rotation to develop staff (Republic of Botswana, Performance Based Reward System Framework and Guidelines, 2004: 18; Rana, 2011: 207).
5. Stabilise leadership at the position of Permanent Secretary to avoid slackening the pace of implementation of the programme and regression, and to address problems of ineffective leadership, inconsistency, discontinuity and loss of institutional memory. A stable leadership will have adequate time to adjust, effect changes and address operational and strategic issues of staffing, development and revision of plans, policies and operational guidelines. The Ministry should avoid making many staff transfers (more than three officers) all at once from the same department or diplomatic mission because such transfers tend to be disruptive.
6. Strengthen institutional structures that facilitate effective implementation of the performance management system in the Ministry such as the Ministry Performance Improvement Committee, and Departmental Performance Improvement Committees by ensuring that these committees meet regularly and produce minutes.
7. Establish Mission Performance Improvement Committees as institutional structures to ensure effective implementation of the performance management system in Botswana diplomatic missions abroad.
8. Strengthen strategic planning capabilities of Ministry staff by making strategic planning sessions focus on the identification, analysis and interpretation of key issues and trends that pose actual or potential

- threats, and opportunities; strategic choices; pre-feasibility analysis of the various planning options; and scenario development and analysis.
9. Put in place an adequate institutional structure that will allow effective delivery of the Ministry mandate by adopting the following:
- a) Create positions of Cultural and Commercial or Economic Counsellor to promote cultural diplomacy and economic diplomacy. Some foreign diplomatic missions already have these positions which may assist to effectively promote arts and culture, trade and investment, and tourism.
  - b) Recruit more officers with expertise in business administration; diplomacy; information technology; communications; foreign languages; international finance, trade, investment, travel, and tourism to adequately promote cultural, economic and public diplomacy and to address the current shortage of skills in these areas.
  - c) Open future Botswana diplomatic missions abroad in emerging economies such as Colombia, Indonesia, Malaysia, Mexico, Poland, Russia, Slovakia, Thailand and Turkey to attract foreign direct investment and to promote trade, investment and tourism with these emerging economies.
  - d) In the long-term, establish the position of Corporate Manager to avoid Department Performance Improvement Co-ordinators and Mission Performance Improvement Co-ordinators performing dual roles. This will improve the execution of strategic management functions at departmental level and at the Botswana diplomatic missions abroad. South African diplomatic missions abroad already have this position.
  - e) Strengthen the capabilities of the Department of Public Relations, Research and Information of the Ministry to conduct rigorous policy

research, planning intelligence and analysis, as well as promote public diplomacy.

- f) Establish the Department of Policy, Planning, Monitoring and Evaluation to improve and strengthen policy development, strategic planning, and monitoring and evaluation capabilities.
- g) Forge strategic partnerships with academic, research and policy institutes such as the University of Botswana, Botswana Institute for Development Policy Analysis, Botswana Public Service College, Botswana National Productivity Centre, and Institute of Development Management to improve the Ministry's environmental scanning capabilities through policy research and provision of evaluation research support.
- h) Appoint non-resident Ambassadors to increase Botswana diplomatic representation abroad and as a cost saving measure. Huge capital investment is required to open and run Botswana diplomatic missions abroad. Non-resident Ambassadors are based in the home country capital and undertake regular visits to countries of accreditation, usually two to three times a year, to perform diplomatic work. Countries such as Namibia and New Zealand are considering the appointment of non-resident Ambassadors (Republic of Namibia, Namibia's Foreign Policy and Diplomacy Management, 2004: 100; McCully, 2011: 4).
- i) Appoint more Botswana's honorary consuls to widen diplomatic representation abroad.
- j) Review and rationalise the accreditation of Botswana's diplomatic missions abroad. Botswana's diplomatic missions are concentrated in Africa, especially Southern Africa in which it has six diplomatic missions out of the nine located in Africa.

#### **8.5.4 Promote effective implementation and use of supporting systems of the performance management system**

The study recommends effective implementation and use of supporting systems of the performance management system through the following:

1. Shift the implementation approach of these systems from cascading approach to participatory or bottom-up approach. Cascading entrenches the command-and-control management model, which is a traditional approach to performance management. Use flattened institutional structures to implement these systems rather than hierarchical chains of command (Hope and Player, 2012: ix - 2).
2. Shift the use of these systems from management command and control to promote staff engagement and empowerment. These systems should not be misused to command and control staff; instead they should be used to promote modern management models that emphasise staff empowerment and adaptation such as the bottom-up approach, flattened institutional structure approach, and empowerment and adaptation model. These systems should be designed from the view of the end-user and based on the principle of customer first rather than the views of the systems designers. Command-and-control management model has a high failure rate while empowerment and adaption model has high success rate. Management experience demonstrates that change, creativity, innovation and adaptation cannot be commanded but require an enabling, encouraging, inspiring and guiding work environment (Hope and Player, 2012: ix - 2).
3. Empowerment and adaptation model operates with smaller back offices (less bureaucracy), self-managed teams (fewer people), and integrated information (fewer top-down controls) and as a result it has lower costs,

- promotes more flexibility and innovation in planning and decision-making processes, and quick monitoring and adaption to changes in markets, customers, products and business models. Consequently, it has more contented staff, customers and stakeholders (Hope and Player, 2012: ix - 2).
4. Shift the ownership of these systems from the preserve of senior management, human resource department, and central authorities and technical implementing agencies to line managers and staff members. By so doing, line managers and staff members will view these systems as within the scope of their real jobs and not as an imposition from above (Longenecker, 1989: 81; Schneier, 1989: 209; Fletcher and Williams, 1996: 170; Hope and Player, 2012: ix - 2).
  5. Develop skills, knowledge and expertise for the systems that support performance planning (strategic planning), accounting and budgeting, measurement, communication (reporting), appraisal, monitoring and evaluation. Strengthen administrative systems and human resource management systems.
    - Provide regular refresher courses and staff training and development to promote effective use of the supporting systems of the performance management system. Employees should be educated, trained and empowered to use the performance management system and its supporting systems (Verweire and Van den Berghe, 2003: 784 – 786; Davenport and Gardiner, 2007: 304).
  6. Introduce equity and grievance redress systems to ensure fair and just (equitable) treatment of staff and to promote fair and balanced transfers and postings and prompt redress of grievances in order to keep them to the barest minimum. This will assist to address staff concerns and complaints about demoralising transfers and the perception by some that favoured officers get plum postings.

7. Introduce annual performance awards to recognise and reward good or excellent performance. One of the main objectives of introducing the performance based reward system was to link pay with performance and to recognise and reward good performance. Presently, the performance based reward system lacks its recognition and reward component. The provision of rewards will establish a clear relationship between performance and reward (Fletcher and Williams, 1996: 170). Annual performance awards will instil a culture of high performance in the Ministry and attract and retain competent staff. Ministries of foreign affairs of Canada, Singapore and Switzerland have bonus payment systems. Singapore offers bonus payment equal to one months' salary to six months' salary as incentive payments (Rana, 2011: 178).
8. Reduce the five levels of performance ratings of the performance appraisal systems of the Botswana public service to three. The recommended three levels of performance ratings are exceptional or outstanding, good or fully competent, and unacceptable or unsatisfactory performance. According to the literature, more than three levels of performance ratings contribute to rater bias because it results in the classic forced distribution problem and arbitrariness which causes employee resentment and frustration. Antonioni (1994: 36) and Glendinning (2002:166) contend that most appraisers can accurately identify their top and poor performers (the highest and lowest 10 percent), and the other employees (80 percent) will accept to be classified as fully competent in the middle category.
9. Integrate systems that support the implementation of the performance management system such as appointment and promotion system; accounting and budgeting systems; performance contracts system; performance appraisal systems; communication system; performance reporting systems; monitoring and evaluation systems; and recognition

and reward systems. Measures to integrate these systems are already being implemented through the introduction of the integrated results based management approach. Integrated results based budgeting system or zero-based budgeting system will be implemented during the 2014/2015 financial year to phase out line item budgeting system which is based on historic expenditure trend.

#### **8.5.5 Strengthen accountability and responsibility mechanisms**

The study recommends that the Ministry of Foreign Affairs and International Co-operation should strengthen accountability and responsibility mechanisms to promote a culture of hard work, accountability and responsibility, discipline, respect for deadlines, customer-orientation, performance-orientation, measurement, monitoring and evaluation to supplant the prevalent culture of blame-shifting or passing the buck, complacency, laxity, indifference, negligence of duties and responsibilities, and poor work ethic (Hope, 2003: 301, 309; Republic of South Africa, National Development Plan 2030: Our Future – Make it Work, 2012: 55). The strengthening of accountability and responsibility mechanisms will ensure effective implementation of government policies, programmes and projects as well as agreed commitments and agreements.

The study proposes the following measures to strengthen accountability and responsibility mechanisms:

1. Review the current job descriptions that are obsolete and characterised by a mismatch of responsibilities wherein a senior officer does routine work while a junior officer is assigned responsibilities beyond his or her job position. The clarification of individual responsibilities and accountabilities will promote role clarity and thereby resolving problems of role conflict and role ambiguity (Fletcher and Williams, 1996: 169).



2. Introduce heads of mission instructions to have a mechanism of holding Ambassadors and High Commissioners accountable for the performance of their diplomatic missions.

#### **8.5.6 Strengthen intra-ministerial and inter-ministerial communication, co-operation, collaboration and co-ordination**

The study recommends that the Ministry of Foreign Affairs and International Co-operation should strengthen mechanisms that promote intra-ministerial and inter-ministerial communication, co-operation, collaboration and co-ordination in order to ensure:

1. Timely and effective communication or dissemination of pertinent information to all key stakeholders, including Botswana diplomatic missions abroad and other government ministries and independent departments.
2. Shared understanding of the Ministry mandate.

The study proposes the following interventions to strengthen intra-ministerial and inter-ministerial communication, co-operation, collaboration and co-ordination:

1. Adopt a flattened institutional structure approach, which is less hierarchical and bureaucratic to allow public servants at similar rank to have instant intra-ministerial and inter-ministerial communication on most issues through their regular day-to-day interactions (Republic of South Africa, National Development Plan 2030: Our Future – Make it Work, 2012: 410).
2. Build strong working relationships that promote intra-ministerial and inter-ministerial co-operation, collaboration and co-ordination on

operational and strategic issues (Republic of South Africa, National Development Plan 2030: Our Future – Make it Work, 2012: 410).

3. Strengthen the existing co-ordinating mechanisms such as the Annual Heads of Mission Conference and inter-ministerial meetings. The agenda of the Annual Heads of Mission Conference should be shared with other government ministries and independent departments well in time to allow for thorough preparation for the issues to be discussed. The Annual Heads of Mission Conference should be used to identify and overcome barriers to institutional performance at the Ministry headquarters and Botswana diplomatic missions abroad.
4. Inter-ministerial meetings should not only be convened to prepare for state and official visits, but should be held regularly (quarterly) to assess status of implementation of agreed international co-operation agreements, treaties, conventions and protocols. It is proposed that inter-ministerial meetings consider status of implementation of two international co-operation agreements at a time. This would be one way of addressing the prevalent problem of lack of implementation of agreed international co-operation agreements and commitments, particularly those of joint permanent commissions for co-operation. Inter-ministerial meetings should also be used to identify implementation challenges and to propose measures to overcome them in a timely fashion rather than just waiting for two years until the next session of the joint permanent commission is convened and then raise these implementation problems.
5. Introduce regional action plans to promote dialogue, teamwork, co-operation and collaboration between Botswana diplomatic missions abroad located in the same region. Regional action plans will discourage working in silos and encourage Botswana diplomatic missions abroad to share the limited resources and thereby achieving more with less. The Ministry of External Affairs of India, which is a pioneer in this area,

started using regional action plans as far back as 1980 (Rana, 2011: 176).

6. Expedite the production of a written foreign policy document to serve as a guiding framework to internal and external stakeholders and to ensure coherence and consistency in foreign policy messages, positions and actions. The Ministry records show that the formulation of a written foreign policy document has dragged on since 1975.

#### **8.5.7 Strengthen decentralisation and empowerment principles**

The study recommends that central authorities and technical implementing departments such as the Ministry of Finance and Development Planning, Public Procurement and Asset Disposal Board, Attorney General's Chambers, Directorate of Public Services Management, Accountant General, Department of Information Technology, and Department of Buildings and Engineering Services should strengthen decentralisation and empowerment principles in order to enhance the capacities of government ministries and independent departments to perform decentralised functions efficiently and effectively. The study proposes the following interventions to strengthen decentralisation and empowerment principles:

1. Remove central administrative controls by central authorities and technical implementing departments because they entrench the command-and-control management model and are a source of frustration and resentment for government ministries and independent departments because they are viewed as a hindrance to adaptation, innovation, creativity and prompt decision-making.
2. Develop human and institutional capacities in government ministries and independent departments to perform adequately the functions that have been decentralised by central authorities and technical implementing

departments by providing more expert or technical support and advice. Weaknesses in human and institutional capacities in government ministries and independent departments resulted in the Ministry of Finance and Development Planning reversing its decision granting authority to Permanent Secretaries to approve funding for projects worth P10 million or less to exclude the approval of project memoranda on consultancies and computerisation because of budgeting and financial management problems. The secondment of officers may be an indication that some central authorities and technical implementing agencies are reluctant to transfer some of their powers and responsibilities to government ministries and independent departments.

3. Attach staff from government ministries and independent departments to central authorities and technical implementing departments to get exposure and experiential learning (learning by doing) which is more action-oriented and practical.
4. Review policy on secondment of officers because it contributes to the creation of a bloated rather than an efficient and leaner public service. The policy of seconding officers does not address the structural and systemic problems of government ministries and independent departments which stem mostly from departmentalism or specialisation of government functions and responsibilities. Departmentalism results in government ministries and independent departments that have strong capacities in only one or two fields of study. For example, the Ministry of Finance and Development Planning in finance and accounting, Attorney General's Chambers in law, and so forth.
5. As it stands now, if government ministries and independent departments face problems of finance, the central authority will send a finance officer; face a problem of procurement, send a procurement officer; face a problem of supplies, send a supplies officer; face a problem of information

- and technology, send an information and technology specialist; face a legal problem, send a legal officer, and so on. These do not address the root causes of problems, which lie mainly in staffing government ministries and independent departments according to their portfolio responsibilities and not granting them authority to hire their own staff or develop their professionals without authority from the central authorities and technical implementing departments.
6. Secondment of officers often creates problems of divided loyalties, resentment by seconded officers because some feel the policy is used to punish them and stifle their career progression. It also creates performance evaluation problems because some managers in host government ministries and independent departments often feel they are incompetent to assess staff performance of seconded officers. Consequently, seconded officers often feel that host government ministries and independent departments undervalue their work and this often strains working relationships. In some cases, secondment results in seconded officers being underutilised due to improper supervision and marked decline in workload. Some seconded officers often feel that managers in host government ministries and independent departments are unfit to assess their performance because they are not fully conversant with their job roles.
  7. Create a threshold of the workload that will be used to justify the posting of seconded officers to avoid the problem of underutilisation of seconded officers and to minimise staff costs.
  8. Strengthen oversight role of the central authorities and technical implementing departments over government ministries and independent departments through regular spot-checks and audits to ensure adherence and compliance with government policies, standards and procedures, and equity and fairness in application of the decentralised functions.

#### **8.5.8 Upgrade information and communications technology infrastructure**

The study recommends that the Ministry of Foreign Affairs and International Co-operation should upgrade its information and communications technology infrastructure to facilitate the usage of computerised systems and web-based technology solutions that would allow automation of systems and use of workflow management systems; online delivery of services (electronic services); process re-engineering and automated reporting. An upgraded information and communications technology infrastructure will enable the use of systems that make the acquisition, collation, sorting, analysis, interpretation, dissemination and reporting of performance data/information easy and quick because of automation (Kennerley and Neely, 2002: 1237; de Waal and Counet, 2009: 369).

### **8.6 AREAS FOR FURTHER RESEARCH**

The study suggests the following as possible areas for future research:

1. Effect of the performance management system on the quality of service delivery in the Ministry of Foreign Affairs and International Co-operation.
2. Benefits of implementing the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service.
3. A comparative study of the implementation of the performance management system in the Ministries of Foreign Affairs of Botswana and Namibia.

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Matsheka, A.M. 2014. Botswana Consulate General in Johannesburg, South Africa. Consul General: Department of Africa and the Middle East, 8 February.



Lesetedi, M.P. 2014. Botswana Embassy in Kuwait City, Kuwait. Ambassador:  
Department of Africa and the Middle East, 9 February.

## ANNEXURE 1

### APPLICATION FOR RESEARCH PERMIT

14 July 2009

The Permanent Secretary  
Ministry of Foreign Affairs and International Co-operation  
Private Bag 00368  
Gaborone, Botswana

**u.f.s:** High Commissioner, BOTSA

Dear Sir,

### APPLICATION FOR A RESEARCH PERMIT

This serves to inform you that I have been admitted by the University of South Africa (UNISA) for a doctoral degree programme in Public Administration. I, therefore, write to request for permission to undertake my doctoral studies and to be granted a research permit to use the Ministry of Foreign Affairs and International Co-operation as a case study for my research.

As part of the registration process, I was requested to write a research proposal. I have since submitted the proposal on the topic: *An Evaluation of the Implementation of the Performance Management System in the Ministry of Foreign Affairs and International Co-operation of the Botswana Public Service.*

The proposal has been approved by UNISA as per the attached letter from the Registrar dated 11 May 2009.

I have enclosed herewith my research proposal for your consideration.

Thank you.

Yours Faithfully,

-----  
Edgar Sisa

## **ANNEXURE 2**

### **PROOF OF APPROVAL OF RESEARCH PERMIT APPLICATION**

TELEGRAM: DEFA  
TELEPHONE: 3663700  
FAX: 3913366/3956923  
TELEX: 2414 BD



Republic of Botswana

MINISTRY OF FOREIGN AFFAIRS  
AND INTERNATIONAL COOPERATION  
PRIVATE BAG 00368  
GABORONE, BOTSWANA

EA 4/4/178 I (37)

5<sup>th</sup> March 2010

Mr. Edgars SISA  
24 Amos Street, Colbyn 0083  
P. O. Box 57035  
Arcadia 0007, Pretoria

u.f.s: High Commissioner, BOTSA

Dear Sir,

**APPLICATION FOR RESEARCH PERMIT**  
**- MR. EDGARS SISA**

Please refer to your letter dated 14<sup>th</sup> July 2009, regarding the above subject matter.

We have noted that you have already enrolled at the University of South Africa for a Doctorate in Public Administration. The Ministry of Foreign Affairs and International Cooperation encourages self development among its officer in line with General 259.1.

However, due to budget constraints, the Ministry will not be in a position to finance your part time studies. We wish to refer you to the Internal Circular REF EA 4/9/9/3 Temp (19) A of 31<sup>st</sup> December 2009 in which officers were advised that the limited training funds will be used to address critical skills gap through group short term courses, induction and also donor funded scholarships from our cooperating partners.

You may wish to note that the Public service has part-time policy with certain conditions that must be observed as stipulated in the Training Management Handbook - Chapter four (4) - Procedures, Private, Part-time studies;

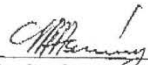
- An officer must seek approval from the appointing Authority prior to enrolment with reputable institution.
- The Appointing Authority must have assessed the courses relevant to the officer's present or anticipated duties.
- The Authority must be granted to an officer to undertake the course.

This procedure is necessary to enable the Ministry to make a determination as to whether or not studies may adversely impact on your performance.

That notwithstanding, your request to pursue Doctorate in Public Administration has been approved, but you will not be reimbursed for costs incurred for reasons stated above. You are advised to make arrangement with your Head of Mission to enable you to complete your program.

We wish you all the best in your academic pursuits.

Yours Faithfully



Gaeimelwe Gertsemang

**For/Ag. Permanent Secretary**

### ANNEXURE 3

#### APPLICATION FOR PERMISSION TO CONDUCT A STUDY IN THE MINISTRY OF FOREIGN AFFAIRS AND INTERNATIONAL CO- OPERATION

20 August 2012

The Permanent Secretary  
Ministry of Foreign Affairs and International Co-operation  
Private Bag 00368  
Gaborone, Botswana

Dear Sir,

#### APPLICATION FOR PERMISSION TO CONDUCT A STUDY IN THE MINISTRY OF FOREIGN AFFAIRS AND INTERNATIONAL CO- OPERATION

I am pleased to inform you that my studies for a Doctorate in Public Administration are progressing well. I am now working on my research design and methodology chapter. My study topic is *An Evaluation of the Implementation of the Performance Management System in the Ministry of Foreign Affairs and International Co-operation of the Botswana Public Service*.

This is an empirical study that involves gathering data from staff members of the Ministry, including those serving in Botswana diplomatic missions abroad. The data will be collected using self-administered questionnaires and follow-up personal interviews.

Based on the foregoing, I write to request for permission to conduct a study in the Ministry, including Botswana diplomatic missions abroad. I also request permission to access the Ministry's archives.

I was granted a research permit on 5 March 2010 (copy enclosed for ease of reference).

Yours Sincerely,

.....  
Edgar Sisa

#### **ANNEXURE 4**

**PROOF OF AUTHORISATION TO CONDUCT A STUDY IN THE MINISTRY  
OF FOREIGN AFFAIRS AND INTERNATIONAL CO-OPERATION**

TELEGRAM: DEFA  
TELEPHONE: 3600700  
FAX: 3913366/3956923  
TELEX: 2414 BD



Republic of Botswana

MINISTRY OF FOREIGN AFFAIRS  
AND INTERNATIONAL COOPERATION  
PRIVATE BAG 00368  
GABORONE, BOTSWANA

EA. 4/4/178 I(62)AgD1

23<sup>rd</sup> August, 2012

Mr. Edgar Sisa  
Botswana High Commission  
Pretoria

u.f.s: High Commissioner

*[Signature]* 07/09/12

**APPLICATION FOR PERMISSION TO CONDUCT A STUDY IN THE  
MINISTRY OF FOREIGN AFFAIRS AND INTERNATIONAL  
COOPERATION**

Reference is made to your letter dated 20<sup>th</sup> August, 2012 on the above subject matter.

Permission is granted for yourself to conduct a study in the Ministry of Foreign Affairs and International Cooperation, including Botswana diplomatic missions abroad in pursuing your Doctorate in Public Administration.

Good luck with your studies.

Yours faithfully,

*[Signature]*

L.C. Lekoa  
**PERMANENT SECRETARY**



## **ANNEXURE 5**

**PROOF OF ETHICS CLEARANCE CERTIFICATE FROM THE RESEARCH  
ETHICS COMMITTEE OF THE DEPARTMENT OF PUBLIC  
ADMINISTRATION AND MANAGEMENT OF THE UNIVERSITY OF SOUTH  
AFRICA**

30 January 2014

REF: PAM/2014/Sisa

DEPARTMENT OF PUBLIC ADMINISTRATION AND MANAGEMENT  
RESEARCH ETHICS COMMITTEE

This is to certify that the application for ethics compliance submitted by

**E. Sisa**

**Student Number 43041515**

for the doctoral study

**An Evaluation of the Implementation of the Performance Management System in the  
Ministry of Foreign Affairs and International Co-operation of the Botswana Public Service**

was reviewed and ethics clearance is granted from the Research Ethics Committee of the Department of Public Administration and Management, CEMS. The committee met and deliberated on 28 January 2014 and found the application for ethics compliance meets all prerequisites. This approval will be sent to the CEMS Research Ethics Committee for notification.

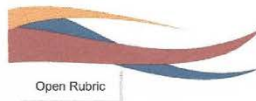
For the Committee,

*Darrell Myrick*

Prof. D. Myrick

Acting Chair PAM Ethics Committee

myricd@unisa.ac.za



## ANNEXURE 6

### SURVEY QUESTIONNAIRE

Dear Respondent,

I am a part-time student of the University of South Africa enrolled for a Doctorate in Public Administration. I am currently collecting data for my thesis entitled "*An Evaluation of the Implementation of the Performance Management System in the Ministry of Foreign Affairs and International Co-operation of the Botswana Public Service.*" My main supervisor is Professor E.J. van der Westhuizen with Professor G. Naidoo as the co-supervisor. I have developed a questionnaire that seeks information on the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation.

The main purpose of this study is to identify the factors that facilitated or impeded the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation. The findings and recommendations of this study may contribute to problem solving by highlighting the factors that facilitate and impede the implementation of the performance management system in the Ministry and recommending policy changes and development. The study may provide valuable insights that might improve the implementation of the performance management system and other future interventions. The study findings may advance scientific knowledge by bridging the gap between theory and professional practice and by highlighting and synthesising into one study the implementation challenges and difficulties of implementing the performance management system in a global environment from a public service perspective.

I would therefore like to invite you to participate in this study. You have been scientifically selected to participate in this study. I was granted permission to conduct this study (refer to the attached letter from the Permanent Secretary).

Please be assured that all the information you provide will be treated with strict confidentiality and your identity will be protected. Survey data will be stored in a high security safe in the researcher's office and this safe will only be accessible to the researcher. To ensure data security and confidentiality, data stored on computer will be protected by the use of password. Data will be destroyed when it is no longer of functional value. This is projected to be five (5) years from the date of publication of this study. Records stored on a computer hard drive will be erased using commercial software designed to remove all data from the storage device. The universal serial bus (USB) drive will be physically destroyed. A record, stating what records were destroyed, when and how the researcher did so, will also be kept.

To ensure complete confidentiality of survey responses, the completed questionnaire should be sent directly to the researcher's electronic mail or fax to e-mail. The survey data will be aggregated rather than reported individually. The survey data will only be used for academic purposes. You are therefore kindly requested to complete the questionnaire honestly. The completed questionnaire should be faxed to +2786 6013433 (fax to e-mail) or e-mailed to [43041515@mylife.unisa.ac.za](mailto:43041515@mylife.unisa.ac.za) or [sisaej@yahoo.com](mailto:sisaej@yahoo.com) by Thursday, 24 April 2013. Should you have any queries, please feel free to contact me at +2779 5235724 or +2776 8159569 (mobile numbers).

Thank you for your participation and time.

Edgar Sisa

## SURVEY QUESTIONNAIRE

### AN EVALUATION OF THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MINISTRY OF FOREIGN AFFAIRS AND INTERNATIONAL CO-OPERATION OF THE BOTSWANA PUBLIC SERVICE

#### QUESTIONNAIRE INSTRUCTIONS

PLEASE COMPLETE THIS QUESTIONNAIRE BY TICKING IN THE APPROPRIATE BOX THAT CORRESPONDS WITH YOUR ANSWER TO THE RESEARCH QUESTIONS. FOR EXPLORATORY, DESCRIPTIVE AND EXPLANATORY RESEARCH PURPOSES, YOU ARE REQUESTED TO PROVIDE DETAILED RESPONSES. IF THE SPACE PROVIDED IS INADEQUATE, PLEASE FEEL FREE TO USE ADDITIONAL PAPER.

#### DIMENSION 1: PROGRAMME GOALS AND OBJECTIVES

1. How are the foreign policy goals and objectives of the Ministry of Foreign Affairs and International Co-operation stated? Please tick the answer that applies.
  - A. ☐ Clear and specific (the foreign policy goals and objectives are specific, measurable, agreed, realistic, and time-bound).
  - B. ☐ unclear and ambiguous (the foreign policy goals and objectives are vaguely stated and difficult to measure).
2. Are your individual performance objectives linked to the department and ministry's strategic objectives?
  - A. ☐ Yes.
  - B. ☐ No.

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3. Indicate whether your individual performance objectives have the following:

- |                       |         |        |
|-----------------------|---------|--------|
| A. Quantified targets | Yes [ ] | No [ ] |
| B. Milestones         | Yes [ ] | No [ ] |
| C. Outputs/Outcomes   | Yes [ ] | No [ ] |

4. Are the strategic goals and objectives of the Ministry of Foreign Affairs and International Co-operation linked to the national development plan objectives and Vision 2016 goals?

A. [ ] Yes.

B. [ ] No.

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5. Does your Ministry have the following documents?

- |                                      |         |        |
|--------------------------------------|---------|--------|
| A. Vision                            | Yes [ ] | No [ ] |
| B. Mission                           | Yes [ ] | No [ ] |
| C. Values                            | Yes [ ] | No [ ] |
| D. Strategic plan                    | Yes [ ] | No [ ] |
| E. Annual performance Plan           | Yes [ ] | No [ ] |
| F. Performance agreements            | Yes [ ] | No [ ] |
| G. Performance and Development Plans | Yes [ ] | No [ ] |

5.1 If yes, how are the vision, mission and values statements stated?

- A. [ ] Simple, short, clear, inspiring, catchy and memorable.  
B. [ ] Lengthy, uninteresting, and difficult to memorise.

6. Does your work division/unit/mission/department have the following documents?

- |            |         |        |
|------------|---------|--------|
| A. Vision  | Yes [ ] | No [ ] |
| B. Mission | Yes [ ] | No [ ] |
| C. Values  | Yes [ ] | No [ ] |

- |                                      |         |        |
|--------------------------------------|---------|--------|
| D. Strategic plan                    | Yes [ ] | No [ ] |
| E. Annual performance Plan           | Yes [ ] | No [ ] |
| F. Performance agreement             | Yes [ ] | NO [ ] |
| G. Performance and development Plans | Yes [ ] | No [ ] |

6.1 If yes, how are the vision, mission and value statements stated?

- A. [ ] Simple, short, clear, inspiring, catchy and memorable.
- B. [ ] Lengthy, uninteresting, and difficult to memorise.

7. If you answered YES to question 5 and 6, indicate whether you were involved in the formulation and execution of any or all these documents: vision, mission and value statements, strategic plan, annual performance plan, performance agreement, and performance and development plan.

- A. [ ] I was involved.
- B. [ ] I was not involved.
- C. [ ] Partially involved.

8. If your work division/unit/mission/department has developed a strategic plan, annual performance plan, performance agreement, and performance and development plan, indicate how much time was devoted to the development of these documents.

- A. [ ] 1 – 7 days.
- B. [ ] 8 – 14 days.
- C. [ ] 15 – 21 days.
- D. [ ] 22 – 28 days.
- E. [ ] 29 – 35 days.
- F. [ ] 36 days and more.

9. Do you consider the time allocated for the development of these documents adequate or inadequate?

- A. [ ] Adequate or sufficient.
- B. [ ] Inadequate or insufficient.

## **DIMENSION 2: TARGET GROUP OR INTENDED BENEFICIARIES**

10. Who are the target group or intended beneficiaries of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

- A. ☐ Professional and technical staff only.
- B. ☐ Administrative (clerical) and support (operational) staff only.
- C. ☐ All categories of staff.

11. Did the Ministry of Foreign Affairs and International Co-operation involve the target group in the design of the performance management system?

- A. ☐ Yes.
- B. ☐ No.
- C. ☐ I do not know.

11.1 If YES, how was the target group involved?

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12. Were you provided with any written documentation or oral briefings to guide the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

- A. ☐ Yes.
- B. ☐ No.

12.1 If YES, list the documents that you were provided with to guide the implementation of the performance management system.

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13. Did you receive any performance management training in the following areas?

- |  |  |
|--|--|
| A. Performance planning                  | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| B. Goal/objective setting                | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| C. Performance measurement and reporting | Yes <input type="checkbox"/> NO <input type="checkbox"/> |



- |   |                              |                             |
|---|------------------------------|-----------------------------|
| D. Preparing for performance appraisal interviews/reviews | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| E. Conducting effective performance appraisal interviews  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| F. Preparing performance agreements                       | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| G. Preparing performance and development plans            | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| H. Supervisory and people management skills               | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| I. Communication and interpersonal skills                 | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| J. Conflict resolution                                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| K. Mentoring, coaching and counselling                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| L. Any other. Specify_____                                |                              |                             |

14. If you answered YES to any of the above, how do you rate the training?

- A. ☐ Relevant, practical and specific to the Ministry of Foreign Affairs and International Co-operation context.
- B. ☐ Irrelevant (too abstract or theoretical).

15. Do you receive any retraining or refresher courses on performance management?

- A. ☐ Yes.
- B. ☐ No.

15.1 If YES, how frequently?

- A. ☐ Once every six months.
- B. ☐ Once a year.
- C. ☐ After a year or more.

16. How do you rate your knowledge and skills to implement and manage the performance management system?

- A. ☐ Excellent or outstanding.
- B. ☐ Good or satisfactory
- C. ☐ Poor or unsatisfactory.

17. Which approach was used to implement the performance management system in the Ministry of Foreign Affairs and International Co-operation?

- A. ☐ Cascading or top-down approach.

- B. ☐ Participatory or bottom-up approach.
- C. ☐ Mixed approach (both top-down and bottom-up approaches).

18. How was the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation received by the target group?

- A. ☐ Enthusiastically (the programme was eagerly implemented by the target group).
- B. ☐ Unenthusiastically (there was tremendous resistance to the implementation of the programme by the target group).
- C. ☐ Lukewarm.

18.1 Explain why the reception by the target group was like that.

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19. Were you briefed why the Ministry of Foreign Affairs and International Co-operation was implementing the performance management system?

- A. ☐ Yes.
- B. ☐ No.

19.1 If YES, were the reasons provided for introducing the performance management system well understood and convincing?

- A. ☐ Yes.
- B. ☐ No.

Explain your answer

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20. Generally, how do you view the performance management system?
- A. ☐ As an empowering management tool that improves individual and institutional performance.
  - B. ☐ As an extra burden management chore that increases paperwork, form-filling and reporting requirements.
  - C. ☐ Neutral.

### **DIMENSION 3: OUTCOME MEASURES**

21. Indicate which performance measurement system is used by the Ministry of Foreign Affairs and International Co-operation?

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| A. Economic value added  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| B. Shareholder value   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| C. European Foundation for Quality Management Excellence Model | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| D. Total Quality Management                                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| E. Balanced Scorecard  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| F. Public Service Excellence Model                             | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| G. Any other. Specify _____                                    |                              |                             |

22. How do you view the performance measurement system used by the Ministry of Foreign Affairs and International Co-operation?

- A. ☐ As simple and easy to use.
- B. ☐ As complex and technical to use.

23. In your view, is the performance measurement system used suitable for the Ministry of Foreign Affairs and International Co-operation context.

- A. ☐ Yes. The performance measurement system was customised or adapted to suit the Ministry's specific context.
- B. ☐ No. The performance measurement system was not customised or adapted to suit the Ministry's specific context.

24. In your view, does the Ministry of Foreign Affairs and International Co-operation have precise measures of individual and institutional performance?

A. ☐ Yes.

B. ☐ No.

Explain

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25. Did you receive any form of training on the performance measurement system used?

A. ☐ Yes.

B. ☐ No.

25.1 If YES, how long was the training? \_\_\_\_\_

25.2 How was the quality of training?

A. ☐ Adequate.

B. ☐ Inadequate.

#### **DIMENSION 4: PROGRAMME COMPONENTS**

26. Indicate whether the Ministry of Foreign Affairs and International Co-operation had adequate resources or inputs to design, install and institutionalise the performance management system.

A. Time Adequate ☐ Inadequate ☐

B. Efforts (commitment/determination) Adequate ☐ Inadequate ☐

C. Human resources Adequate ☐ Inadequate ☐

D. Financial resources Adequate ☐ Inadequate ☐

E. Effective leadership Adequate ☐ Inadequate ☐

F. Expertise Adequate ☐ Inadequate ☐

Explain your answers

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## DIMENSION 5: PROGRAMME INFRASTRUCTURE

27. Indicate whether the Ministry of Foreign Affairs and International Co-operation has the following systems to support the effective implementation of the performance management system.

A. Appointment and promotion system	Yes [ ]	No [ ]
B. Induction/Orientation of new officers	Yes [ ]	No [ ]
C. Job descriptions	Yes [ ]	No [ ]
D. Heads of Mission Instructions	Yes [ ]	No [ ]
E. Performance based budgeting system	Yes [ ]	No [ ]
F. Performance contracts system	Yes [ ]	No [ ]
G. Handing over notes	Yes [ ]	No [ ]
H. Performance appraisal/evaluation systems	Yes [ ]	No [ ]
I. Performance reporting systems	Yes [ ]	No [ ]
J. Monitoring and evaluation systems	Yes [ ]	No [ ]
K. Recognition and reward systems	Yes [ ]	No [ ]
L. Communication/information system	Yes [ ]	No [ ]
M. Equity and grievance redress systems	Yes [ ]	No [ ]
N. Foreign Policy Document	Yes [ ]	No [ ]
O. Well crafted Government Policies, Programmes and Strategies on Trade and Investment, Tourism, and so on.	Yes [ ]	No [ ]

27.1 If you answered YES to any of the above, explain how effective are these systems. \_\_\_\_\_

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27.2 Are these systems integrated?

A. [ ] Yes.

B. [ ] No.

Explain your answer

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28. How was the performance management system implemented in the Ministry of Foreign Affairs and International Co-operation?

- A. ☐ Piloted. It was implemented in phases or stages.
- B. ☐ Implemented on full-scale or wholesale.

29. Did the Ministry of Foreign Affairs and International Co-operation have an implementation plan for the performance management system?

- A. ☐ Yes.
- B. ☐ No.
- C. ☐ Does not know.

30. Did the Ministry of Foreign Affairs and International Co-operation collect baseline data before the implementation of the performance management system?

- A. ☐ Yes.
- B. ☐ No.
- C. Does not know.

#### **DIMENSION 6: HUMAN RESOURCE BASE**

31. In your view, does the Ministry of Foreign Affairs and International Co-operation have the personnel with the necessary experience, expertise and competencies to implement and manage the performance management system?

- A. ☐ Yes.
- B. ☐ No.

32. Does the Ministry of Foreign Affairs and International Co-operation have the following officers to co-ordinate the implementation of the performance management system?

- |   |  |
|---|--|
| A. Ministry Performance Improvement Co-ordinator    | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| B. Department Performance Improvement Co-ordinators | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| C. Mission Performance Improvement Co-ordinators    | Yes <input type="checkbox"/> No <input type="checkbox"/> |

32.1 If YES, how were these officers appointed?

- A. ☐ On merit (performance).
- B. ☐ Seniority or Position.
- C. ☐ Volunteered.
- D. ☐ Any other. Specify \_\_\_\_\_

32.2 Are these officers well-trained and skilled to perform their roles adequately?

- A. ☐ Yes.
- B. ☐ No.
- C. ☐ Somewhat competent.

33. Does the Ministry of Foreign Affairs and International Co-operation have champions of the performance management system?

- A. ☐ Yes.
- B. ☐ No.

33.1 If YES, name the champions of the performance management system. \_\_\_\_\_

34. In your view, do the following officials provide adequate support to the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| A. President of Botswana                                       | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| B. Vice President of Botswana                                  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| C. Minister of Foreign Affairs                                 | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| D. Minister for Presidential Affairs and Public Administration | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| E. Permanent Secretary to the President                        | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| F. Director (Directorate of Public Service Management)         | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| G. Director General (National Strategy Office)                 | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| H. Permanent Secretary (MOFAIC)                                | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| I. Deputy Permanent Secretaries (MOFAIC)                       | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

- |  |         |        |
|--|---------|--------|
| J. Directors and Heads of Missions (MOFAIC)            | Yes [ ] | No [ ] |
| K. Performance Improvement Co-ordinator                | Yes [ ] | No [ ] |
| L. Department Performance Improvement<br>Co-ordinators | Yes [ ] | No [ ] |
| M. Mission Performance Improvement<br>Co-ordinators    | Yes [ ] | No [ ] |
| N. Middle management                                   | Yes [ ] | No [ ] |
| O. Junior management                                   | Yes [ ] | No [ ] |
- Explain your answers

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35. Does the Ministry of Foreign Affairs and International Co-operation have the following committees to facilitate effective implementation of the performance management system?

- |   |         |        |
|---|---------|--------|
| A. Ministerial Performance Improvement Committee  | Yes [ ] | No [ ] |
| B. Departmental Performance Improvement Committee | Yes [ ] | No [ ] |
| C. Mission Performance Improvement Committee      | Yes [ ] | No [ ] |

35.1 If YES, how effective are these committees?

- A. [ ] Very effective.  
 B. [ ] Work occasionally.  
 C. [ ] Ineffective or moribund.

36. Did the Ministry of Foreign Affairs and International Co-operation engage management consultants to assist with the implementation of the performance management system?

- A. [ ] Yes.  
 B. [ ] No.



36.1 If YES, name the management consultancies (optional if you can still recall the names)

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36.2 How do you rate the service of the management consultancies used?

A. ☐ Knowledgeable and skilled.

B. ☐ Inexperienced.

#### **DIMENSION 7: PROGRAMME STAKEHOLDERS**

37. Indicate if the Ministry of Foreign Affairs and International Co-operation consulted the following stakeholders when implementing the performance management system.

A. Top management	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Middle management	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. Junior management (rank and file employees)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Trade union(s)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Political leaders (Cabinet Ministers and Members of Parliament)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. The general public	Yes <input type="checkbox"/>	No <input type="checkbox"/>

37.1 If YES, list the forums or channels that were used to consult these stakeholders\_\_\_\_\_

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38. Did the Ministry of Foreign Affairs and International Co-operation undertake a stakeholder analysis before embarking on the implementation of the performance management system?

A. ☐ Yes.

B. ☐ No.

C. ☐ Do not know.

39. Did the following stakeholders support the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

- |  |         |        |
|--|---------|--------|
| A. Top management  | Yes [ ] | No [ ] |
| B. Middle management   | Yes [ ] | No [ ] |
| C. Junior management (rank and file employees)                     | Yes [ ] | No [ ] |
| D. Trade union(s)  | Yes [ ] | No [ ] |
| E. Political leaders (Cabinet Ministers and Members of Parliament) | Yes [ ] | No [ ] |
| F. The general public  | Yes [ ] | No [ ] |

Explain your answers

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#### **DIMENSION 8: PROGRAMME CONTEXT**

40. Which analytical tool did the Ministry of Foreign Affairs and International Co-operation use for environmental scanning or assessment?

- A. ☐ Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis.  
 B. ☐ Performance-Importance, Opportunity and Threat Matrices.  
 C. ☐ Other. Specify \_\_\_\_\_

41. In your view, is the analytical tool used for environmental scanning by the Ministry of Foreign Affairs and International Co-operation

- A. ☐ Simple and practical.  
 B. ☐ Sophisticated and complex.

42. Indicate if the Ministry of Foreign Affairs and International Co-operation institutional environment has the following to support the implementation of the performance management system?

- |                                    |         |        |
|------------------------------------|---------|--------|
| A. Proper organisational structure | Yes [ ] | No [ ] |
| B. Performance-oriented culture    | Yes [ ] | No [ ] |

C. Decentralised management authority	Yes [ ]	No [ ]
D. Learning and measurement culture	Yes [ ]	No [ ]
E. Democratic management style	Yes [ ]	No [ ]
F. Risk-taking culture	Yes [ ]	No [ ]
G. Proper office space and accommodation	Yes [ ]	No [ ]
H. Work systems and processes	Yes [ ]	No [ ]

Explain your answers \_\_\_\_\_

43. Indicate if the following factors from the external environment are favourable to the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

A. Administrative system	Yes [ ]	No [ ]
B. Political system	Yes [ ]	No [ ]
C. Information and communications technology infrastructure	Yes [ ]	No [ ]

Explain your answers

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44. Overall, how would you rate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

- A. [ ] Exceptional or outstanding.
- B. [ ] Good or satisfactory.
- C. [ ] Poor or unsatisfactory.

Justify your rating

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45. List the factors that facilitated the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation.

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46. List the factors that constrained or impeded the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

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47. What would you recommend to improve the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation?

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#### **DEMOGRAPHIC PROFILE**

48. Gender

- A. ☐ Male.
- B. ☐ Female.

49. Age

- A. ☐ 20 – 24 years old.
- B. ☐ 25 – 29 years old.
- C. ☐ 30 – 34 years old.
- D. ☐ 35 – 39 years old.
- E. ☐ 40 – 44 years old.
- F. ☐ 45 – 49 years old.
- G. ☐ 50 – 54 years old.
- H. ☐ 55 – 59 years old.
- I. ☐ 60 – 64 years old.
- J. ☐ 65 years and above.

50. Salary scale

- A. ☐ C3 – C1.
- B. ☐ D4 – D1.
- C. ☐ E2 and above.

51. How many years have you been in the current position: \_\_\_\_\_

52. How many years have you worked in the Ministry of Foreign Affairs and International Co-operation: \_\_\_\_\_

53. State your highest level of education and field (for example, Bachelor of Arts in Political Science and Public Administration).

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**THANK YOU FOR YOUR TIME AND COMPLETING THE QUESTIONNAIRE.**

## **ANNEXURE 7**

### **PARTICIPANT INFORMATION LEAFLET**

Dear Respondent,

#### **1. INTRODUCTION**

You are invited to volunteer to participate in the research study on the thesis topic: *"An Evaluation of the Implementation of the Performance Management System in the Ministry of Foreign Affairs and International Co-operation of the Botswana Public Service."* Before you agree to participate in this study, please read the participant information leaflet carefully to fully understand what is involved. The participant information leaflet provides information on the purpose of the study, research procedure followed, potential benefits of the study, research risks and discomfort, rights of the respondent, approval to conduct the study, and contact details of researcher, supervisor and co-supervisor.

#### **2. PURPOSE OF STUDY**

This study is undertaken as part of a thesis requirement for Doctor of Public Administration. The aim of this study is to investigate the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation of the Botswana public service. It also seeks to identify the factors that are critical to the successful implementation of the performance management system. More specifically, it attempts to identify the factors that facilitated or impeded the implementation of the performance management system in the Ministry of Foreign Affairs and International Co-operation.

### **3. RESEARCH PROCEDURE FOLLOWED**

This study mainly involves the completion of self-administered questionnaires which are completed by ticking in the appropriate box that corresponds with your answer to the research questions. For exploratory, descriptive and explanatory research purposes, you are requested to provide detailed responses. If the space provided is inadequate, please feel free to use additional paper.

### **4. POTENTIAL BENEFITS OF THE STUDY**

No compensation or material benefits will be provided for taking part in this study. It is hoped that this study would contribute to the existing literature on performance management system by highlighting the implementation challenges and difficulties that the Botswana public service and the Ministry of Foreign Affairs and International Co-operation in particular encountered in implementing the performance management system. Additionally, the findings and recommendations of this study could assist the Ministry of Foreign Affairs and International Co-operation to improve the implementation of the performance management system and other future interventions. A copy of the final manuscript will be handed to the Ministry of Foreign Affairs and International Co-operation. The research findings will be published in a management journal and made publicly available through the University of South Africa's institutional repository.

### **5. RESEARCH RISKS AND DISCOMFORT**

The researcher does not anticipate any legal, physical and psychological (emotional) harm to the respondent. The following measures were instituted to protect the respondent from any harm: (1) the identity of the respondent will be

protected; (2) information provided by the respondent will be treated with strict confidentiality; (3) the completed questionnaire should be sent directly to the researcher's electronic mail or fax to e-mail; (4) the survey data will be aggregated rather than reported individually; and (5) in the event that the respondent experiences emotional discomfort or stress, he or she should immediately withdraw from the study.

## **6. RIGHTS OF THE RESPONDENT**

Participation in this study is completely voluntary. Written consent is needed to participate in this study. Before the respondent signs the informed consent form, he or she should have fully understood the information contained in this participant information leaflet. The respondent has the following rights: (1) right to voluntarily participate in this study; (2) right to refuse to participate in this study; and (3) right to withdraw consent to participate in this study at any time without adverse consequences and/or giving reasons.

## **7. APPROVAL TO CONDUCT THE STUDY**

The researcher obtained permission from the Permanent Secretary of the Ministry of Foreign Affairs and International Co-operation to conduct this study (refer to the covering letter of the questionnaire).

## **8. CONTACT DETAILS OF RESEARCHER, SUPERVISOR AND CO-SUPERVISOR**

For more information, questions or concerns about this study, please contact the researcher, supervisor or co-supervisor. The contact details of the researcher, supervisor and co-supervisor are provided below:



1. The Researcher

Mr. Edgar Sisa

Mobile numbers: +27 795235724 / +27 768159569

E-mail addresses: [43041515@mylife.unisa.ac.za](mailto:43041515@mylife.unisa.ac.za) or [sisaej@yahoo.com](mailto:sisaej@yahoo.com)

Fax to e-mail: +27 866013433

2. The Supervisor

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Mobile number: +27 836549227

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3. The Co-supervisor

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Fax: +27 12 4296075

## ANNEXURE 8

### INFORMED CONSENT FORM

1. I, the undersigned, acknowledge and confirm that I have received, read and understood the *Participant Information Leaflet* inviting me to volunteer to participate in a study entitled "*An Evaluation of the Implementation of the Performance Management System in the Ministry of Foreign Affairs and International Co-operation of the Botswana Public Service.*"
2. I was informed of my rights as a respondent. I am voluntarily participating in this study and I understand that I am at liberty to withdraw consent to participate in this study at any time without adverse consequences and/or giving reasons.
3. I agree that the information I provide be treated with strict confidentiality and used for academic purposes only.
4. I have had the opportunity to consider this information and ask questions about my participation in this study. I have no objections whatsoever to participate in this study.
5. I give consent to participate in this study.

**Name of participant:** \_\_\_\_\_

**Signature of participant:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## **ANNEXURE 9**

### **CERTIFICATE FROM A PROFESSIONAL LANGUAGE EDITOR**

Box 70244

Gaborone

22 April 2014

**To whom it may concern,**

**RE: Editorial Work on Mr Edgar Sisa's Doctoral Thesis**

Dear Sir/Madam,

I Ndana Ndana, a Senior Lecturer in the Department of English at the University of Botswana do hereby certify that I read and edited Mr. Edgar's Sisa's doctoral thesis entitled *An Evaluation of the Implementation of the Performance Management System in the Ministry of Foreign Affairs and International Cooperation of the Botswana Public Service*. I made several suggestions which Mr Sisa should consider and effect accordingly.

Yours faithfully,



Ndana Ndana (PhD)

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